

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

Form A  
 For use by Members, officers, and employees

Page 1 of 3

Name: Timothy H. Bishop

Daytime Telephone: 631-696-6500

**HAND DELIVERED**  
*MC* (Office Use Only)

Filer Status	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>NY</u>	<input type="checkbox"/> Officer or Employee	Employing Office:
		District: <u>01</u>		
Report Type	<input checked="" type="checkbox"/> Annual (May 16, 2011)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Termination Date:

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	<b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b>	

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**

<b>TRUSTS</b> —Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>EXEMPTION</b> —Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.  
**Exclude:** Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

**For payments to charity in lieu of honoraria, use Schedule II.**

**For additional assets and unearned income, use next page.**

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

**FORM A**  
For use by Members, officers, and employees

Page 1 of 6 - LEGISLATIVE RESOURCE CENTER

MAY 19 PM 12:56

Steve J. Israel  
(Full Name)

202-225-3335  
(Daytime Telephone)

U.S. HOUSE OF REPRESENTATIVES

MAY 16 2011  
(Office Use Only)

**Filer Status**

☒ Member of the U.S. House of Representatives  
State: NY District: 02

☐ Officer Or Employee

Employing Office:

**Report Type**

☒ Annual (May 15) ☐ Amendment

☐ Termination

Termination Date:

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p><b>I.</b> Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period?  Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule I.</p>	<p><b>VI.</b> Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)?  Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  If yes, complete and attach Schedule VI.</p>
<p><b>II.</b> Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?  Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  If yes, complete and attach Schedule II.</p>	<p><b>VII.</b> Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)?  Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule VII.</p>
<p><b>III.</b> Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period?  Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule III.</p>	<p><b>VIII.</b> Did you hold any reportable positions on or before the date of filing in the current calendar year?  Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  If yes, complete and attach Schedule VIII.</p>
<p><b>IV.</b> Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period?  Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  If yes, complete and attach Schedule IV.</p>	<p><b>IX.</b> Did you have any reportable agreement or arrangement with an outside entity?  Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  If yes, complete and attach Schedule IX.</p>
<p><b>V.</b> Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?  Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule V.</p> <p><b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b></p>	

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<b>Trusts--</b>	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions--</b>	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

Name Steve J. Israel

Page 2 of 6

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
Suffolk County Family Court	Spouse Salary	n/a

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Steve J. Israel

Page 3 of 6

BLOCK A		BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source		Year-End Value of Asset	Type of Income	Amount of Income	Transaction
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or</p>		<p>at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."</p>	<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p>	<p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
	NYS Comptroller's office	None	Other: (Please specify)	\$2,501 - \$5,000	
SP	NYS Retirement Account (not self-directed)	\$15,001 - \$50,000	n/a	n/a	
	NYS Retirement Account (not self-directed)	\$15,001 - \$50,000	n/a	n/a	

**SCHEDULE V - LIABILITIES**

Name Steve J. Israel

Page 4 of 6

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
SP	Xpress Loan	2009	Student Loan	\$10,001 - \$15,000
DC	Sallie Mae	2009	Student Loan	\$50,001 - \$100,000
SP	Citibank	December 2010	Credit Card consolidation (revolving)	\$15,001 - \$50,000

**SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS**

Name Steve J. Israel

Page 5 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
State of Israel (MECEA)	Feb. 14-18	NYC-Tel Aviv-Eilat-Jerusalem- Tel Aviv-NYC	Y	Y	Y	none



## FOOTNOTES

Name Steve J. Israel

Page 6 of 6

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	<p>In late 2010, I was advised of unclaimed funds owed to me by the New York State Comptroller's Office. It is my understanding that these funds were the result of 60 shares of Walt Disney Company stock purchased through a Merrill Lynch brokerage in approximately 1987. When the brokerage closed, I was unable to retrieve the stock. I learned only recently that the stock was remitted to the New York State Comptroller's Office in 1999. The Comptroller's Office sold the stock in late 2010; the funds, totaling \$2,804.18, were restored to me on December 16, 2010.</p>	NYS Comptroller

**UNITED STATES HOUSE OF REPRESENTATIVES  
CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

Form A  
For use by Members, officers, and employees

Page 1 of 4

**HAND DELIVERED**

LEGISLATIVE RESOURCE CENTER

2011 MAY 16 AM 11:40

OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES  
(Office Use Only)

MC

Name: Peter T. King

Daytime Telephone: 202.225.7896

Filer Status



Member of the U.S.  
House of Representatives

State: NY  
District: 03



Officer or  
Employee

Employing Office:

Report Type



Annual (May 16, 2011)



Amendment



Termination

Termination Date:

**A \$200 penalty shall be assessed  
against anyone who files more than  
30 days late.**

**PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period?  
If yes, complete and attach Schedule I.

Yes



No



VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)?  
If yes, complete and attach Schedule VI.

Yes



No



II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?  
If yes, complete and attach Schedule II.

Yes



No



VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)?  
If yes, complete and attach Schedule VII.

Yes



No



III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period?  
If yes, complete and attach Schedule III.

Yes



No



VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year?  
If yes, complete and attach Schedule VIII.

Yes



No



IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period?  
If yes, complete and attach Schedule IV.

Yes



No



IX. Did you have any reportable agreement or arrangement with an outside entity?  
If yes, complete and attach Schedule IX.

Yes



No



V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?  
If yes, complete and attach Schedule V.

Yes



No



**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**

**TRUSTS**—Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

Yes



No



**EXEMPTION**—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.

Yes



No



## SCHEDULE I—EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

**Exclude:** Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

[illegible]

**For payments to charity in lieu of honoraria, use Schedule II.**

Name <u>Peter T. King</u>	Page <u>3</u> of <u>4</u>
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[illegible]

## SCHEDULE VIII—POSITIONS

Name

Peter T. King

Page

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

**Exclude:** Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position

Name of Organization

Board Member

Notre Dame Law Association (Alumni Association of Notre Dame Law School)

## SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date

Parties To

Terms of Agreement

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

Form A  
For use by Members, officers, and employees

Page 1 of 1  
LEGISLATIVE RESOURCE CENTER  
2011 MAY 13 PM 2:59  
OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES

Name: Carolyn McCarthy Daytime Telephone: 516-873-9087

**HAND DELIVERED**  
(Office Use Only)

Filer Status: ☒ Member of the U.S. House of Representatives State: New York District: 4th ☐ Officer or Employee  
Report Type: ☒ Annual (May 16, 2011) ☐ Amendment ☐ Termination Termination Date: \_\_\_\_\_

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II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	<b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b>	

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**

<b>TRUSTS</b> —Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>EXEMPTION</b> —Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

**Exclude:** Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

**For payments to charity in lieu of honoraria, use Schedule II.**

[illegible]



# SCHEDULE III—ASSETS AND “UNEARNED” INCOME

Name

Carolyn McCarthy

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BLOCK A Asset and/or Income Source			BLOCK B Value of Asset												BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction	
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in “unearned” income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p><b>Exclude:</b> Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.</p> <p>For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.</p>			<p>Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used.</p> <p>If an asset was sold during the reporting year and is included only because it generated income, the value should be “None.”</p>												<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the “None” column. <b>Dividends, interest, and capital gains, even if reinvested, must be disclosed as income.</b> Check “None” if the asset generated no income during the reporting period.</p>						<p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the “None” column. For all other assets, indicate the category of income by checking the appropriate box below. <b>Dividends, interest, and capital gains, even if reinvested, must be disclosed as income.</b> Check “None” if no income was earned or generated.</p>											<p>Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p> <p>If only a portion of an asset is sold, please indicate as follows: (S) (partial) See below for example.</p>	
			A	B	C	D	E	F	G	H	I	J	K	L							I	II	III	IV	V	VI	VII	VIII	IX	X	XI		
			None	\$1 – \$1,000	\$1,001 – \$15,000	\$15,001 – \$50,000	\$50,001 – \$100,000	\$100,001 – \$250,000	\$250,001 – \$500,000	\$500,001 – \$1,000,000	\$1,000,001 – \$5,000,000	\$5,000,001 – \$25,000,000	\$25,000,001 – \$50,000,000	Over \$50,000,000	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	None	\$1 – \$200	\$201 – \$1,000	\$1,001 – \$2,500	\$2,501 – \$5,000	\$5,001 – \$15,000	\$15,001 – \$50,000	\$50,001 – \$100,000	\$100,001 – \$1,000,000	\$1,000,001 – \$5,000,000	Over \$5,000,000	P, S, E
SP, DC, JT	Examples:	SP: Mega Corp. Stock				X									X			X			Royalties			X								S (partial)	
		Simon & Schuster			Indefinite												X																
		1st Bank of Paducah, KY Accounts					X																	X									
		See Attached																															
		Brokerage Statements																															
		Congressional Federal Credit Union				X										X							X										

For additional assets and unearned income, use next page.

# Morgan Stanley Smith Barney

**CLIENT STATEMENT** | For the Period December 1-31, 2010

HON CAROLYN MCCARTHY

## Holdings

The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the period shown above which may not reflect the value that could actually be obtained in the market. See "Pricing of Securities" in the Disclosures section at the end of this statement.

Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

If you hold structured products, please refer to the Special Considerations Regarding Structured Products section of the Disclosure section.

Gain/loss information is provided for informational purposes only and should not be used for tax preparation. Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting.

From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month. From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year.

## CASH, DEPOSITS AND MONEY MARKET FUNDS

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
CASH	\$321.07			
MORGAN STANLEY BANK N.A. #	9,543.73	14.00	—	0.150
	Percentage of Assets %	Market Value	Estimated Annual Income	Accrued Interest
CASH, DEPOSITS AND MONEY MARKET FUNDS	3.2%	\$9,864.80	\$14.00	\$0.00

# Bank deposits are at Morgan Stanley Bank, N.A. and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney.

Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement.

## STOCKS

### COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ABBOTT LABORATORIES (ABT)	3/15/07	29.000	\$53.530	\$1,552.38	\$1,389.39	\$(162.99) LT A		
	1/18/08	5.000	59.890	299.45	239.55	(59.90) LT A		
	7/9/08	10.000	57.457	574.57	479.10	(95.47) LT A		
	Total	44.000		2,426.40	2,108.04	(318.36) LT	77.44	3.67
Share Price: \$47.910; Next Dividend Payable 02/11								
ALLSTATE CORP (ALL)	3/24/06	18.000	53.191	957.43	573.84	(383.59) LT A		
	3/15/07	17.000	59.520	1,011.84	541.96	(469.88) LT A		
	11/5/08	21.000	29.330	615.92	669.48	53.56 LT A		
	Total	56.000		2,585.19	1,785.28	(799.91) LT	44.80	2.50

Share Price: \$31.880; Next Dividend Payable 01/03/11

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PERSONAL  
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# Morgan Stanley Smith Barney

HON CAROLYN MCCARTHY

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## Holdings

### STOCKS

#### COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ALTRIA GROUP INC (MO)	4/10/08	3.000	21.491	64.47	73.86	9.39 LT A		
	3/10/09	20.000	16.188	323.75	492.40	168.65 LT A		
	3/11/09	44.000	16.439	723.33	1,083.28	359.95 LT A		
	5/15/09	33.000	17.122	565.02	812.46	247.44 LT A		
	<b>Total</b>	<b>100.000</b>		<b>1,676.57</b>	<b>2,462.00</b>	<b>785.43 LT</b>	<b>152.00</b>	<b>6.17</b>
Share Price: \$24.620; Next Dividend Payable 01/10/11								
AMEREN CORP (HLDG CO) (AEE)	9/11/07	5.000	50.586	252.93	140.95	(111.98) LT A		
	9/12/07	10.000	51.322	513.22	281.90	(231.32) LT A		
	9/14/07	10.000	51.946	519.46	281.90	(237.56) LT A		
	9/26/07	10.000	52.943	529.43	281.90	(247.53) LT A		
	9/27/07	15.000	53.069	796.04	422.85	(373.19) LT A		
	<b>Total</b>	<b>50.000</b>		<b>2,611.08</b>	<b>1,409.50</b>	<b>(1,201.58) LT</b>	<b>77.00</b>	<b>5.46</b>
Share Price: \$28.190; Next Dividend Payable 03/11								
AT&T INC (T)	3/24/06	59.000	27.370	1,614.83	1,733.42	118.59 LT A		
	3/15/07	15.000	36.950	554.25	440.70	(113.55) LT A		
	<b>Total</b>	<b>74.000</b>		<b>2,169.08</b>	<b>2,174.12</b>	<b>5.04 LT</b>	<b>127.28</b>	<b>5.85</b>
Share Price: \$29.380; Next Dividend Payable 02/11								
AXA ADS (AXAHY)	3/24/06	3.000	33.240	99.72	49.95	(49.77) LT A		
	3/15/07	12.000	39.291	471.49	199.80	(271.69) LT A		
	10/3/07	7.000	44.876	314.13	116.55	(197.58) LT A		
	4/2/08	9.000	38.887	349.98	149.85	(200.13) LT A		
	7/22/08	12.000	29.313	351.75	199.80	(151.95) LT A		
	11/6/08	17.000	18.769	319.07	283.05	(36.02) LT A		
	<b>Total</b>	<b>60.000</b>		<b>1,906.14</b>	<b>999.00</b>	<b>(907.14) LT</b>	<b>35.10</b>	<b>3.51</b>
Share Price: \$16.650								
CALPINE CORP NEW (CPN)	6/1/09	57.000	14.465	824.48	760.38	(64.10) LT A	—	—
Share Price: \$13.340								
CDN PACIFIC RY LTD NEW (CP)	7/22/08	13.000	64.691	840.98	842.53	1.55 LT A	13.95	1.65
Share Price: \$64.810; Next Dividend Payable 01/31/11								
CENOVUS ENERGY INC COM (CVE)	8/29/08	15.000	36.271	544.07	498.60	(45.47) LT A		
	9/8/08	20.000	32.793	655.86	664.80	8.94 LT A		

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## Holdings

### STOCKS

#### COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>Total</b>		35.000		1,199.93	1,163.40	(36.53) LT	27.41	2.35
<i>Share Price: \$33.240; Next Dividend Payable 03/11</i>								
<b>CISCO SYS INC (CSCO)</b>	3/15/07	27.000	25.790	696.33	546.21	(150.12) LT A		
	4/23/07	55.000	26.576	1,461.67	1,112.65	(349.02) LT A		
	4/9/09	27.000	17.869	482.47	546.21	63.74 LT A		
<b>Total</b>		109.000		2,640.47	2,205.07	(435.40) LT	—	—
<i>Share Price: \$20.230</i>								
<b>COCA COLA CO (KO)</b>	10/22/07	18.000	58.932	1,060.78	1,183.86	123.08 LT A		
	4/7/08	15.000	60.449	906.74	986.55	79.81 LT A		
	9/11/08	5.000	53.786	268.93	328.85	59.92 LT A		
<b>Total</b>		38.000		2,236.45	2,499.26	262.81 LT	66.88	2.67
<i>Share Price: \$65.770; Next Dividend Payable 03/11</i>								
<b>CONOCOPHILLIPS (COP)</b>	3/24/06	22.000	61.830	1,360.27	1,498.20	137.93 LT A		
	3/15/07	16.000	67.040	1,072.64	1,089.60	16.96 LT A		
<b>Total</b>		38.000		2,432.91	2,587.80	154.89 LT	83.60	3.23
<i>Share Price: \$68.100; Next Dividend Payable 03/11</i>								
<b>CONS STAPLES SEL SECT SPDR FD (XLP)</b>	6/29/09	90.000	23.190	2,087.10	2,637.90	550.80 LT A	68.67	2.60
<i>Share Price: \$29.310; Next Dividend Payable 03/11</i>								
<b>DIAGEO PLC SPON ADR NEW (DEO)</b>	7/21/08	7.000	72.784	509.49	520.31	10.82 LT A		
	11/6/08	2.000	58.660	117.32	148.66	31.34 LT A		
<b>Total</b>		9.000		626.81	668.97	42.16 LT	21.28	3.18
<i>Share Price: \$74.330</i>								
<b>DIAMOND OFFSHORE DRILLING INC (DO)</b>	12/26/07	10.000	145.842	1,458.42	668.70	(789.72) LT A		
	12/31/07	10.000	142.914	1,429.14	668.70	(760.44) LT A		
	1/12/09	7.000	58.609	410.26	468.09	57.83 LT A		
<b>Total</b>		27.000		3,297.82	1,805.49	(1,492.33) LT	13.50	0.74
<i>Share Price: \$66.870; Next Dividend Payable 03/11</i>								
<b>EATON VANCE TAX-MNGD GLBL (ETW)</b>	5/12/10	400.000	12.617	5,046.96	4,900.00	(146.96) ST A	484.00	9.87
<i>Share Price: \$12.250; Next Dividend Payable 03/11</i>								
<b>ENCANA CORP (ECA)</b>	8/29/08	15.000	38.515	577.72	436.80	(140.92) LT A		
	9/8/08	20.000	34.822	696.43	582.40	(114.03) LT A		

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## Holdings

## STOCKS

## COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>Total</b>		35.000		1,274.15	1,019.20	(254.95) LT	28.00	2.74
<i>Share Price: \$29.120; Next Dividend Payable 03/11</i>								
<b>ENERGY SEL SECT SPDR FD (XLE)</b>	8/20/09	100.000	50.817	5,081.74	6,825.00	1,743.26 LT A	99.70	1.46
<i>Share Price: \$68.250; Next Dividend Payable 03/11</i>								
<b>FIRST TR ISE REVERE NAT GAS (FCG)</b>	3/18/10	100.000	18.177	1,817.74	1,968.00	150.26 ST A		
	4/5/10	100.000	18.277	1,827.74	1,968.00	140.26 ST A		
<b>Total</b>		200.000		3,645.48	3,936.00	290.52 ST	9.80	0.24
<i>Share Price: \$19.680</i>								
<b>FRANCE TELECOM (FTE)</b>	9/18/08	12.000	29.020	348.24	252.96	(95.28) LT A		
	10/2/08	11.000	28.058	308.64	231.88	(76.76) LT A		
	1/22/09	6.000	24.898	149.39	126.48	(22.91) LT A		
	1/27/09	7.000	24.304	170.13	147.56	(22.57) LT A		
<b>Total</b>		36.000		976.40	758.88	(217.52) LT	53.17	7.00
<i>Share Price: \$21.080</i>								
<b>GILEAD SCIENCE (GILD)</b>	4/18/08	24.000	51.515	1,236.36	869.76	(366.60) LT A		
	11/18/08	8.000	45.253	362.02	289.92	(72.10) LT A		
	4/7/09	10.000	47.515	475.15	362.40	(112.75) LT A		
<b>Total</b>		42.000		2,073.53	1,522.08	(551.45) LT	—	—
<i>Share Price: \$36.240</i>								
<b>GLAXOSMITHKLINE PLC ADS (GSK)</b>	3/24/06	7.000	53.601	375.21	274.54	(100.67) LT A		
	3/15/07	22.000	54.790	1,205.38	862.84	(342.54) LT A		
	6/5/07	35.000	51.798	1,812.94	1,372.70	(440.24) LT A		
	6/11/07	30.000	52.266	1,567.97	1,176.60	(391.37) LT A		
	7/21/08	20.000	48.805	976.09	784.40	(191.69) LT A		
	5/14/09	14.000	32.261	451.65	549.08	97.43 LT A		
<b>Total</b>		128.000		6,389.24	5,020.16	(1,369.08) LT	255.87	5.09
<i>Share Price: \$39.220; Next Dividend Payable 01/06/11</i>								
<b>GOOGLE INC-CL A (GOOG)</b>	6/19/08	3.000	555.710	1,667.13	1,781.91	114.78 LT A		
	6/24/08	1.000	546.280	546.28	593.97	47.69 LT A		
<b>Total</b>		4.000		2,213.41	2,375.88	162.47 LT	—	—
<i>Share Price: \$593.970</i>								

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# Morgan Stanley Smith Barney

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## Holdings

### STOCKS

#### COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
H J HEINZ CO (HNZ)	4/2/08	22.000	47.784	1,051.24	1,088.12	36.88 LT A	39.60	3.63
Share Price: \$49.460; Next Dividend Payable 01/10/11								
HUDSON CITY BANCORP INC. (HCBK)	4/30/08	43.000	19.439	835.87	547.82	(288.05) LT A		
	11/6/08	13.000	17.616	229.01	165.62	(63.39) LT A		
<b>Total</b>		56.000		1,064.88	<b>713.44</b>	(351.44) LT	33.60	4.70
Share Price: \$12.740; Next Dividend Payable 02/11								
ISHARES BARCLAYS AGG.BD FD (AGG)	11/17/09	100.000	105.029	10,502.91	10,575.00	72.09 LT A		
	4/5/10	100.000	103.167	10,316.74	10,575.00	258.26 ST A		
<b>Total</b>		200.000		20,819.65	<b>21,150.00</b>	72.09 LT 258.26 ST	737.60	3.48
Share Price: \$105.750; Next Dividend Payable 01/04/11								
ISHARES BARCLAYS TIPS BD FD (TIP)	11/17/09	100.000	105.239	10,523.91	10,752.00	228.09 LT A	269.30	2.50
Share Price: \$107.520; Next Dividend Payable 01/04/11								
ISHARES DJ US BASIC MTL SCTR (IYM)	6/29/09	45.000	44.110	1,984.95	3,485.70	1,500.75 LT A		
	8/20/09	100.000	50.480	5,048.00	7,746.00	2,698.00 LT A		
<b>Total</b>		145.000		7,032.95	<b>11,231.70</b>	4,198.75 LT	125.43	1.11
Share Price: \$77.460; Next Dividend Payable 03/11								
ISHARES DJ US TECH INDEX FUND (IYW)	6/29/09	45.000	44.740	2,013.30	2,897.10	883.80 LT A		
	7/17/09	55.000	46.990	2,584.45	3,540.90	956.45 LT A		
<b>Total</b>		100.000		4,597.75	<b>6,438.00</b>	1,840.25 LT	27.50	0.42
Share Price: \$64.380; Next Dividend Payable 03/11								
ISHARES FTSE/CHINA 25 INDEX FD (FXI)	6/29/09	55.000	38.790	2,133.45	2,369.95	236.50 LT A		
	7/17/09	45.000	39.410	1,773.45	1,939.05	165.60 LT A		
<b>Total</b>		100.000		3,906.90	<b>4,309.00</b>	402.10 LT	62.80	1.45
Share Price: \$43.090; Next Dividend Payable 06/11								
ISHARES IBOX \$ HY CORP BND (HYG)	11/23/09	115.000	86.305	9,925.05	10,383.35	458.30 LT A		
	8/17/10	25.000	87.710	2,192.75	2,257.25	64.50 ST A		

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PERSONAL  
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## Holdings

### STOCKS

#### COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>Total</b>		140.000		12,117.80	12,640.60	458.30 LT 64.50 ST	1,043.14	8.25
<i>Share Price: \$90.290; Next Dividend Payable 01/04/11</i>								
ISHARES IBOXX INVEST GR COR FD (LQD)	10/16/09	85.000	103.880	8,829.80	9,217.40	387.60 LT A		
	11/23/09	20.000	105.740	2,114.80	2,168.80	54.00 LT A		
<b>Total</b>		105.000		10,944.60	11,386.20	441.60 LT	554.51	4.87
<i>Share Price: \$108.440; Next Dividend Payable 01/04/11</i>								
ISHARES MSCI AUST INDEX FUND (EWA)	3/25/10	300.000	24.040	7,212.00	7,632.00	420.00 ST A	249.00	3.26
<i>Share Price: \$25.440; Next Dividend Payable 06/11</i>								
ISHARES MSCI SPAIN INDEX FUND (EWP)	6/29/09	50.000	40.390	2,019.50	1,837.00	(182.50) LT A	107.40	5.84
<i>Share Price: \$36.740; Next Dividend Payable 06/11</i>								
ISHARES S&P 500 VALUE INDEX (IVE)	6/29/09	195.000	43.999	8,579.83	11,620.05	3,040.22 LT A	242.00	2.08
<i>Share Price: \$59.590; Next Dividend Payable 03/11</i>								
ISHARES S&P MID CAP 400 VALUE (IJJ)	6/29/09	160.000	52.370	8,379.15	12,713.60	4,334.45 LT A	197.76	1.55
<i>Share Price: \$79.460; Next Dividend Payable 03/11</i>								
ISHARES S&P SMALL CAP 600 VAL (IJS)	6/29/09	100.000	47.258	4,725.82	7,189.00	2,463.18 LT A		
	6/29/09	85.000	47.260	4,017.10	6,110.65	2,093.55 LT A		
<b>Total</b>		185.000		8,742.92	13,299.65	4,556.73 LT	152.07	1.14
<i>Share Price: \$71.890; Next Dividend Payable 03/11</i>								
ISHARES TR S&P NATL MUN BD FD (MUB)	11/23/09	98.000	102.620	10,056.76	9,719.64	(337.12) LT A	369.75	3.80
<i>Share Price: \$99.180; Next Dividend Payable 01/04/11</i>								
JEFFERIES TR/J CRB GLBL IND (CRB1)	10/25/10	100.000	44.420	4,442.04	4,901.00	458.96 ST	47.00	0.95
<i>Share Price: \$49.010</i>								
KRAFT FOODS INC CL A (KFT)	5/1/07	33.000	33.486	1,105.04	1,039.83	(65.21) LT A		
	5/9/07	20.000	32.742	654.84	630.20	(24.64) LT A		
	5/10/07	10.000	32.791	327.91	315.10	(12.81) LT A		

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## Holdings

## STOCKS

## COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>Total</b>		63.000		2,087.79	1,985.13	(102.66) LT	73.08	3.68
<i>Share Price: \$31.510; Next Dividend Payable 01/14/11</i>								
<b>LOCKHEED MARTIN CORP (LMT)</b>	8/27/07	5.000	101.130	505.65	349.55	(156.10) LT A		
	10/9/07	10.000	111.468	1,114.68	699.10	(415.58) LT A		
	9/5/08	5.000	114.998	574.99	349.55	(225.44) LT A		
	9/17/08	5.000	110.872	554.36	349.55	(204.81) LT A		
<b>Total</b>		25.000		2,749.68	1,747.75	(1,001.93) LT	75.00	4.29
<i>Share Price: \$69.910; Next Dividend Payable 03/11</i>								
<b>MARATHON OIL CO (MRO)</b>	3/24/06	16.000	38.726	619.61	592.48	(27.13) LT A		
	3/15/07	32.000	47.070	1,506.24	1,184.96	(321.28) LT A		
	11/4/08	14.000	29.819	417.46	518.42	100.96 LT A		
<b>Total</b>		62.000		2,543.31	2,295.86	(247.45) LT	62.00	2.70
<i>Share Price: \$37.030; Next Dividend Payable 03/11</i>								
<b>MICROSOFT CORP (MSFT)</b>	3/15/07	63.000	27.270	1,718.01	1,758.33	40.32 LT A		
	8/8/07	20.000	29.896	597.92	558.20	(39.72) LT A		
	10/17/07	30.000	31.193	935.80	837.30	(98.50) LT A		
	1/18/08	10.000	33.812	338.12	279.10	(59.02) LT A		
	10/14/08	15.000	24.121	361.82	418.65	56.83 LT A		
	10/28/08	37.000	21.875	809.38	1,032.67	223.29 LT A		
	11/3/08	45.000	22.864	1,028.90	1,255.95	227.05 LT A		
	6/17/09	20.000	23.445	468.90	558.20	89.30 LT A		
<b>Total</b>		240.000		6,258.85	6,698.40	439.55 LT	153.60	2.29
<i>Share Price: \$27.910; Next Dividend Payable 03/11</i>								
<b>MITSUMI &amp; CO LTD ADR (MITSY)</b>	10/19/07	1.000	509.390	509.39	327.72	(181.67) LT A		
	1/25/08	1.000	376.460	376.46	327.72	(48.74) LT A		
	9/12/08	1.000	300.920	300.92	327.72	26.80 LT A		
	11/4/08	3.000	245.400	736.20	983.16	246.96 LT A		
<b>Total</b>		6.000		1,922.97	1,966.32	43.35 LT	40.13	2.04
<i>Share Price: \$327.720</i>								
<b>NOKIA CP ADR (NOK)</b>	4/28/08	12.000	29.595	355.14	123.84	(231.30) LT A		
	5/19/08	6.000	30.000	180.00	61.92	(118.08) LT A		

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PERSONAL  
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## STOCKS

## COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>Total</b>		18.000		535.14	185.76	(349.38) LT	6.32	3.40
Share Price: \$10.320								
<b>PFIZER INC (PFE)</b>	3/24/06	8.000	26.021	208.17	140.08	(68.09) LT A		
	4/25/06	5.000	24.748	123.74	87.55	(36.19) LT A		
	4/26/06	40.000	24.969	998.76	700.40	(298.36) LT A		
	4/28/06	35.000	25.149	880.20	612.85	(267.35) LT A		
	3/15/07	117.000	24.880	2,910.96	2,048.67	(862.29) LT A		
<b>Total</b>		205.000		5,121.83	3,589.55	(1,532.28) LT	164.00	4.56
Share Price: \$17.510; Next Dividend Payable 03/11								
<b>POWERSHARES DB COMM TRK INC (DBC)</b>	10/25/10	100.000	26.150	2,615.00	2,755.00	140.00 ST	—	—
Share Price: \$27.550								
<b>POWERSHARES WATER RES PTF (PHO)</b>	11/5/09	150.000	16.215	2,432.22	2,848.50	416.28 LT A	15.30	0.53
Share Price: \$18.990								
<b>PWRSHARES INSURED NY MUNI BND (PZT)</b>	11/23/09	215.000	22.930	4,929.95	4,761.60	(168.35) LT A		
	5/11/10	300.000	23.452	7,035.54	6,644.09	(391.45) ST A		
<b>Total</b>		515.000		11,965.49	11,405.70	(168.35) LT (391.45) ST	549.51	4.81
Share Price: \$22.147								
<b>QUALCOMM INC (QCOM)</b>	2/19/08	5.000	42.814	214.07	247.45	33.38 LT A		
	6/12/08	20.000	49.165	983.29	989.80	6.51 LT A		
	7/31/08	10.000	55.608	556.08	494.90	(61.18) LT A		
<b>Total</b>		35.000		1,753.44	1,732.15	(21.29) LT	26.60	1.53
Share Price: \$49.490; Next Dividend Payable 03/11								
<b>REVENUESHARES LARGE CAP ETF (RWL)</b>	6/29/09	280.000	16.770	4,695.60	6,619.20	1,923.60 LT A		
	7/17/09	50.000	16.880	844.00	1,182.00	338.00 LT A		
<b>Total</b>		330.000		5,539.60	7,801.20	2,261.60 LT	104.94	1.34
Share Price: \$23.640								
<b>REVENUESHARES MID CAP ETF (RWK)</b>	6/29/09	260.000	19.000	4,940.00	7,672.60	2,732.60 LT A	43.68	0.56
Share Price: \$29.510								
<b>REVENUESHARES SMALL CAP ETF (RWJ)</b>	6/29/09	240.000	20.140	4,833.60	7,797.60	2,964.00 LT A	30.48	0.39
Share Price: \$32.490								

CONTINUED

# Morgan Stanley Smith Barney

CLIENT STATEMENT | For the Period December 1-31, 2010

HON CAROLYN MCCARTHY

## Holdings

### STOCKS

#### COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ROYAL DUTCH SHELL PLC (RDS'A)	9/25/07	5.000	83.036	415.18	333.90	(81.28) LT A		
	9/26/07	10.000	83.026	830.26	667.80	(162.46) LT A		
	10/2/07	20.000	81.877	1,637.54	1,335.60	(301.94) LT A		
	5/14/09	22.000	49.374	1,086.22	1,469.16	382.94 LT A		
	<b>Total</b>	<b>57.000</b>		<b>3,969.20</b>	<b>3,806.46</b>	<b>(162.74) LT</b>	<b>162.79</b>	<b>4.27</b>
<i>Share Price: \$66.780</i>								
S&P NORTH AMER NAT RES SECTOR (IGE)	2/12/10	100.000	32.847	3,284.74	4,169.00	884.26 ST A	57.60	1.38
<i>Share Price: \$41.690; Next Dividend Payable 06/11</i>								
SK TELECOM CO LTD (SKM)	7/24/08	20.000	20.423	408.46	372.60	(35.86) LT A		
	7/25/08	19.000	20.431	388.19	353.97	(34.22) LT A		
	<b>Total</b>	<b>39.000</b>		<b>796.65</b>	<b>726.57</b>	<b>(70.08) LT</b>	<b>27.38</b>	<b>3.76</b>
<i>Share Price: \$18.630</i>								
STAPLES INC (SPLS)	6/25/08	52.000	25.109	1,305.66	1,184.04	(121.62) LT A		
	9/11/08	20.000	24.585	491.70	455.40	(36.30) LT A		
	4/9/09	18.000	21.074	379.34	409.86	30.52 LT A		
	<b>Total</b>	<b>90.000</b>		<b>2,176.70</b>	<b>2,049.30</b>	<b>(127.40) LT</b>	<b>32.40</b>	<b>1.58</b>
<i>Share Price: \$22.770; Next Dividend Payable 01/13/11</i>								
STATOIL ASA ADR (STO)	7/24/08	33.000	30.472	1,005.57	784.41	(221.16) LT A		
	11/11/08	15.000	18.106	271.59	356.55	84.96 LT A		
	<b>Total</b>	<b>48.000</b>		<b>1,277.16</b>	<b>1,140.96</b>	<b>(136.20) LT</b>	<b>37.39</b>	<b>3.27</b>
<i>Share Price: \$23.770</i>								
SUPERVALU INC (SVU)	2/18/09	44.000	17.663	777.15	423.72	(353.43) LT A		
	2/25/09	36.000	18.179	654.45	346.68	(307.77) LT A		
	<b>Total</b>	<b>80.000</b>		<b>1,431.60</b>	<b>770.40</b>	<b>(661.20) LT</b>	<b>28.00</b>	<b>3.63</b>
<i>Share Price: \$9.630; Next Dividend Payable 03/11</i>								
TOTAL FINA ELF SA (TOT)	12/27/07	15.000	82.369	1,235.53	802.20	(433.33) LT A		
	1/3/08	15.000	84.739	1,271.08	802.20	(468.88) LT A		

CONTINUED

PERSONAL  
ACCOUNTS

RETIREMENT  
ACCOUNTS

EDUCATION  
ACCOUNTS

TRUST  
ACCOUNTS

BUSINESS  
ACCOUNTS

Morgan Stanley  
Smith Barney

HON CAROLYN MCCARTHY

CLIENT STATEMENT | For the Period December 1-31, 2010

## Holdings

## STOCKS

## COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>Total</b>		30.000		2,506.61	1,604.40	(902.21) LT	74.49	4.64
<i>Share Price: \$53.480</i>								
<b>TRANSCANADA CORP(HLDG CO) (TRP)</b>	7/29/08	5.000	37.546	187.73	190.20	2.47 LT A		
	7/30/08	5.000	37.682	188.41	190.20	1.79 LT A		
	7/31/08	11.000	38.588	424.47	418.44	(6.03) LT A		
	<b>Total</b>	21.000		800.61	798.84	(1.77) LT	33.43	4.18
<i>Share Price: \$38.040; Next Dividend Payable 01/31/11</i>								
<b>UNILEVER PLC (NEW) ADS (UL)</b>	6/27/07	10.000	32.184	321.84	308.80	(13.04) LT A		
	10/10/07	5.000	32.326	161.63	154.40	(7.23) LT A		
	10/11/07	5.000	33.074	165.37	154.40	(10.97) LT A		
	11/7/07	6.000	35.737	214.42	185.28	(29.14) LT A		
	1/30/08	4.000	32.548	130.19	123.52	(6.67) LT A		
	<b>Total</b>	30.000		993.45	926.40	(67.05) LT	33.45	3.61
<i>Share Price: \$30.880</i>								
<b>VALERO ENERGY CP DELA NEW (VLO)</b>	4/16/09	37.000	21.317	788.73	855.44	66.71 LT A		
	4/20/09	35.000	20.117	704.10	809.20	105.10 LT A		
	<b>Total</b>	72.000		1,492.83	1,664.64	171.81 LT	14.40	0.86
<i>Share Price: \$23.120; Next Dividend Payable 03/11</i>								
<b>VAN ECK GLBL ALTERNATIVE ENGY (GEX)</b>	7/17/09	100.000	23.721	2,372.14	2,001.00	(371.14) LT A	19.00	0.94
<i>Share Price: \$20.010</i>								
<b>VANGUARD MEGA CAP 300 VALUE (MGV)</b>	8/20/09	150.000	32.655	4,898.22	5,808.00	909.78 LT A	137.40	2.36
<i>Share Price: \$38.720; Next Dividend Payable 03/11</i>								
<b>VANGUARD TOTAL BOND MARKET (BND)</b>	11/17/09	100.000	79.640	7,964.00	8,027.00	63.00 LT A		
	11/23/09	20.000	79.780	1,595.60	1,605.40	9.80 LT A		
	11/23/09	30.000	79.770	2,393.10	2,408.10	15.00 LT A		
	<b>Total</b>	150.000		11,952.70	12,040.50	87.80 LT	418.95	3.47
<i>Share Price: \$80.270; Next Dividend Payable 01/11</i>								
<b>WAL MART STORES INC (WMT)</b>	6/24/08	9.000	57.647	518.82	485.37	(33.45) LT A		
	6/27/08	20.000	56.974	1,139.47	1,078.60	(60.87) LT A		
	7/9/08	10.000	58.436	584.36	539.30	(45.06) LT A		
	9/11/08	5.000	62.458	312.29	269.65	(42.64) LT A		

CONTINUED

# Morgan Stanley Smith Barney

CLIENT STATEMENT | For the Period December 1-31, 2010

HON CAROLYN MCCARTHY

## Holdings

### STOCKS

#### COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>Total</b>		44.000		2,554.94	2,372.92	(182.02) LT	53.24	2.24
<i>Share Price: \$53.930; Next Dividend Payable 01/03/11</i>								
<b>WINDSTREAM CORP (WIN)</b>	8/23/06	10.000	12.771	127.71	139.40	11.69 LT A		
	10/16/06	45.000	13.775	619.89	627.30	7.41 LT A		
	10/17/06	20.000	13.674	273.47	278.80	5.33 LT A		
	3/15/07	130.000	14.350	1,865.50	1,812.20	(53.30) LT A		
	11/10/08	36.000	8.943	321.96	501.84	179.88 LT A		
<b>Total</b>		241.000		3,208.53	3,359.54	151.01 LT	241.00	7.17

*Share Price: \$13.940; Next Dividend Payable 01/18/11*

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
STOCKS	96.8%	\$276,769.20	\$297,618.39	\$18,871.09 LT \$1,978.09 ST	\$8,713.47 \$0.00	2.93%

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
TOTAL MARKET VALUE	100.0%	\$276,769.20	\$307,483.19	\$18,871.09 LT \$1,978.09 ST	\$8,727.47 \$0.00	2.84%

TOTAL VALUE (includes accrued interest)

\$307,483.19

A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney Account. Another financial institution has provided Morgan Stanley Smith Barney the transaction detail for this position.

PERSONAL  
ACCOUNTS

RETIREMENT  
ACCOUNTS

EDUCATION  
ACCOUNTS

TRUST  
ACCOUNTS

BUSINESS  
ACCOUNTS

# Morgan Stanley Smith Barney

CLIENT STATEMENT | For the Period December 1-31, 2010

HON CAROLYN MCCARTHY

## Holdings

The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the period shown above which may not reflect the value that could actually be obtained in the market. See "Pricing of Securities" in the Disclosures section at the end of this statement. Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate. If you hold structured products, please refer to the Special Considerations Regarding Structured Products section of the Disclosure section. Gain/loss information is provided for informational purposes only and should not be used for tax preparation. Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting.

From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month. From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year.

## CASH, DEPOSITS AND MONEY MARKET FUNDS

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
CASH	\$570.08			
MORGAN STANLEY BANK N.A. #	\$7,488.88	17.00	—	0.030
	Percentage of Assets %	Market Value	Estimated Annual Income	Accrued Interest
CASH, DEPOSITS AND MONEY MARKET FUNDS	17.6%	\$58,058.96	\$17.00	\$0.00

# Bank deposits are at Morgan Stanley Bank, N.A. and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney.

Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement.

## STOCKS

### COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
BLACKROCK NY MUNI INC TRUST (BNY)	2/4/08	900.000	\$16.750	\$15,075.36	\$12,267.00	\$(2,808.36) LT A	\$891.00	7.26
Share Price: \$13.630; Next Dividend Payable 01/11								
BLDRS EMERGING MKTS 50 ADR (ADRE)	5/16/07	140.000	43.515	6,092.14	6,741.00	648.86 LT A	108.36	1.60
Share Price: \$48.150; Next Dividend Payable 03/11								
COHEN&STEERS INFRASTRUCTURE FD (UTF)	2/21/08	220.000	24.343	5,355.36	3,612.40	(1,742.96) LT A	316.80	8.76
Share Price: \$16.420; Next Dividend Payable 03/11								
EATON VANCE TAX-MNGD GLBL (ETW)	2/4/08	500.000	17.601	8,800.35	6,125.00	(2,675.35) LT A	605.00	9.87
Share Price: \$12.250; Next Dividend Payable 03/11								

CONTINUED

# Morgan Stanley Smith Barney

HON CAROLYN MCCARTHY

CLIENT STATEMENT | For the Period December 1-31, 2010

## Holdings

### STOCKS

#### COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ISHARES MSCI BRAZIL(FREE)INDEX (EWZ)	5/16/07	105.000	57.497	6,037.20	8,127.00	2,089.80 LT A	294.74	3.62
Share Price: \$77.400; Next Dividend Payable 06/11								
JOHN HANCOCK PFD INCM FD III (HPS)	2/4/08	500.000	20.941	10,470.35	7,995.00	(2,475.35) LT A	673.00	8.41
Share Price: \$15.990; Next Dividend Payable 01/11								
MARKET VECT.ENV SERV FD (EVX)	5/16/07	125.000	49.463	6,182.85	6,450.00	267.15 LT A	62.50	0.96
Share Price: \$51.600								
MARKET VECTORS RUSSIA ETF RUSS (RSX)	5/16/07	160.000	38.716	6,194.55	6,065.60	(128.95) LT A	29.44	0.48
Share Price: \$37.910								
NEUBERGER BERMAN REAL EST (NRO)	2/21/08	422.000	10.425	4,399.35	1,683.78	(2,715.57) LT A	101.28	6.01
Share Price: \$3.990; Next Dividend Payable 01/11								
NFJ DIVIDEND INT & PRE STRGY (NFJ)	2/4/08	500.000	23.201	11,600.35	8,755.00	(2,845.35) LT A	300.00	3.42
Share Price: \$17.510; Next Dividend Payable 01/07/11								
NUVEEN EQTY PREMIUM OPPTY FD (JSN)	2/4/08	500.000	17.001	8,500.35	6,440.00	(2,060.35) LT A	630.00	9.78
Share Price: \$12.880; Next Dividend Payable 03/11								
PIMCO CORPORATE OPPTY FD (PTY)	2/4/08	500.000	15.839	7,919.35	8,485.00	565.65 LT A	690.00	8.13
Share Price: \$16.970; Next Dividend Payable 01/11								
PIONEER MUNI HI INCM ADV TR (MAV)	2/4/08	900.000	14.999	13,499.37	11,178.00	(2,321.37) LT A	972.00	8.69
Share Price: \$12.420; Next Dividend Payable 01/11								
PWRSHARES INSURED NY MUNI BND (PZT)	9/24/09	80.000	24.242	1,939.35	1,771.76	(167.59) LT A	85.36	4.81
Share Price: \$22.147								
SOURCE CAPITAL INC (SOR)	2/4/08	200.000	58.287	11,657.35	10,626.00	(1,031.35) LT A	480.00	4.51
Share Price: \$53.130; Next Dividend Payable 03/11								
VAN ECK GLBL ALTERNATIVE ENGY (GEX)	5/16/07	150.000	40.409	6,061.35	3,001.50	(3,059.85) LT A	28.50	0.94
Share Price: \$20.010								
WISDOMTREE INTL BASIC MAT FD (DBN)	5/16/07	175.000	34.986	6,122.60	5,625.55	(497.05) LT A	93.28	1.65
Share Price: \$32.146; Next Dividend Payable 03/11								
COMMON STOCKS				\$135,907.58	\$114,949.59	\$(20,957.99) LT	\$6,361.26	5.53%

PERSONAL  
ACCOUNTSRETIREMENT  
ACCOUNTSEDUCATION  
ACCOUNTSTRUST  
ACCOUNTSBUSINESS  
ACCOUNTS

# Morgan Stanley Smith Barney

HON CAROLYN MCCARTHY

CLIENT STATEMENT | For the Period December 1-31, 2010

## Holdings

### STOCKS

#### PREFERRED STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>FREDDIE MAC 6.02% SERIES X (FMCKL)</b>	1/7/08	500.000	\$22.707	\$11,353.35	\$260.00	\$(11,093.35) LT A	\$26.20	10.07
<i>Share Price: \$0.520; Moody CA S&amp;P C</i>								
<b>ING GROEP NV 6.1250% SER (ISG)</b>	1/7/08	237.000	22.013	5,216.98	4,801.62	(415.36) LT A	362.85	7.55
<i>Share Price: \$20.260; Moody BA1 S&amp;P BB; Next Dividend Payable 01/18/11</i>								
<b>PREFERRED STOCKS</b>				<b>\$16,570.33</b>	<b>\$5,061.62</b>	<b>\$(11,508.71) LT</b>	<b>\$389.05</b>	<b>7.69%</b>
		Percentage of Assets %		Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Yield %
<b>STOCKS</b>		<b>36.3%</b>		<b>\$152,477.91</b>	<b>\$120,011.21</b>	<b>\$(32,466.70) LT</b>	<b>\$6,750.31</b>	<b>5.62%</b>
							<b>\$0.00</b>	

### MUNICIPAL BONDS

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
<b>MONROE CNTY N Y PUB IMPT</b>	3/15/10	30,000.000	\$101.414	\$30,424.15			\$1,275.00	4.22
<i>CUSIP 61074PFK8</i>								
			\$101.216	\$30,364.81	<b>\$30,154.80</b>	\$(210.01) ST A	\$106.24	
<i>Unit Price: \$100.516; Coupon Rate 4.250%; Matures 06/01/20; Int. Semi-Annually Jun/Dec 01; Callable \$100.00 on 06/01/15; Yield to Call 4.120%; Federal Tax Exempt; Moody A3 S&amp;P BBB+; Insurer: NATL PUBLIC FINANCE GU; Issued 07/15/07</i>								
<b>NEW YORK N Y CITY GENL OBLIG F-F1</b>	3/19/08	10,000.000	105.554	10,555.35			500.00	4.72
<i>CUSIP 64966FMS0</i>								
			103.673	10,367.26	<b>10,577.10</b>	209.84 LT A	166.66	
<i>Unit Price: \$105.771; Coupon Rate 5.000%; Matures 09/01/21; Int. Semi-Annually Mar/Sep 01; Callable \$100.00 on 09/01/15; Yield to Call 3.643%; Federal Tax Exempt; Moody AA2 S&amp;P AA; Insurer: AMBAC; Issued 09/22/05</i>								
<b>NEW YORK ST TWY AUTH GEN REV SER G</b>	9/24/09	50,000.000	105.011	52,505.35			2,375.00	4.80
<i>CUSIP 650009QN6</i>								
			103.998	51,999.18	<b>49,383.50</b>	(2,615.68) LT A	1,187.50	
<i>Unit Price: \$98.767; Coupon Rate 4.750%; Matures 01/01/30; Int. Semi-Annually Jan/Jul 01; Callable \$100.00 on 07/01/15; Yield to Maturity 4.850%; Federal Tax Exempt; Moody AA3 S&amp;P AA+; Insurer: AGMC FORMERLY FSA; Issued 09/29/05</i>								
		Percentage of Assets %		Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
<b>MUNICIPAL BONDS</b>				<b>\$93,484.85</b>			<b>\$4,150.00</b>	<b>4.60%</b>
				<b>\$92,731.25</b>	<b>\$90,115.40</b>	<b>\$(2,405.84) LT</b>	<b>\$1,460.40</b>	
						<b>\$(210.01) ST</b>		
<b>TOTAL MUNICIPAL BONDS (incl. accr. int.)</b>		<b>27.7%</b>			<b>\$91,575.80</b>			

# Morgan Stanley Smith Barney

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HON CAROLYN MCCARTHY

## Holdings

### GOVERNMENT SECURITIES

#### TREASURY SECURITIES

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
<b>UNITED STATES TREASURY NOTE-INFLATION INDEXED</b>	—	19,000.000	—	Please Provide			\$693.37	2.82
CUSIP 912828AF7			—	Please Provide	\$24,549.91	N/A	\$318.41	
<i>Unit Price: \$106.219; Coupon Rate 3.000%; Matures 07/15/12; Int. Semi-Annually Jan/Jul 15; Factor 1.21645000; Moody AAA S&amp;P AAA; Issued 07/15/02; Amortized Quantity 23,112</i>								
<b>UNITED STATES TREASURY BOND</b>	3/24/06	18,000.000	144.387	25,989.61			1,912.50	7.63
CUSIP 912810DS4			124.251	22,365.15	25,057.98	2,692.83 LT A	717.18	
<i>Unit Price: \$139.211; Coupon Rate 10.62%; Matures 08/15/15; Int. Semi-Annually Feb/Aug 15; Yield to Maturity 1.756%; Moody AAA S&amp;P AAA; Issued 08/15/85</i>								
<b>UNITED STATES TREASURY BOND</b>	3/24/06	7,000.000	139.234	9,746.41			630.00	6.23
CUSIP 912810EB0			127.106	8,897.42	10,096.94	1,199.52 LT A	80.05	
<i>Unit Price: \$144.242; Coupon Rate 9.000%; Matures 11/15/18; Int. Semi-Annually May/Nov 15; Yield to Maturity 2.719%; Moody AAA S&amp;P AAA; Issued 11/15/88</i>								

	Percentage of Assets %	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
GOVERNMENT SECURITIES		\$35,736.02			\$3,235.87	5.42%
		\$31,262.57	\$59,704.83	\$3,892.35 LT	\$1,115.64	

TOTAL GOVERNMENT SECURITIES  
(incl.accr.int.)

18.4%

\$60,820.47

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
TOTAL MARKET VALUE	100.0%	\$276,471.73	\$327,890.40	\$(30,980.19) LT \$(210.01) ST	\$14,153.18 \$2,576.04	4.28%

TOTAL VALUE (includes accrued interest)

\$330,466.44

A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney Account. Another financial institution has provided Morgan Stanley Smith Barney the transaction detail for this position.

Unrealized Gain/Loss Totals only reflect positions that have cost basis information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.

PERSONAL  
ACCOUNTS

RETIREMENT  
ACCOUNTS

EDUCATION  
ACCOUNTS

TRUST  
ACCOUNTS

BUSINESS  
ACCOUNTS



**CLIENT STATEMENT** | For the Period December 1-31, 2010

**HON CAROLYN MCCARTHY**

## Holdings

The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the period shown above which may not reflect the value that could actually be obtained in the market. See "Pricing of Securities" in the Disclosures section at the end of this statement.

Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

If you hold structured products, please refer to the Special Considerations Regarding Structured Products section of the Disclosure section.

Gain/loss information is provided for informational purposes only and should not be used for tax preparation. Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting.

From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month. From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year.

## CASH, DEPOSITS AND MONEY MARKET FUNDS

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
CASH	\$187.62			
MORGAN STANLEY BANK N.A. #	9,445.51	3.00	—	0.030

	Percentage of Assets %	Market Value	Estimated Annual Income Accrued Interest
CASH, DEPOSITS AND MONEY MARKET FUNDS	7.1%	\$9,633.13	\$3.00 \$0.00

# Bank deposits are at Morgan Stanley Bank, N.A. and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney.

Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement.

## STOCKS

### COMMON STOCKS

Morgan Stanley & Co. Incorporated (Morgan Stanley), Citi Investment Research & Analysis (CIRA), and Standard & Poor's research ratings may be shown for certain securities. All research ratings represent the "opinions" of the research provider and are not representations or guarantees of performance. Because the research report contains more complete information regarding the analyst's opinions, analysis, and rating, you should read the entire research report and not infer its contents from the rating. Where a particular company is covered by both Morgan Stanley and CIRA, you can and should view both research reports. Morgan Stanley and CIRA research reports may contain different or conflicting information about the subject companies of such research reports because they are prepared separately from each other. For ease of comparison, Morgan Stanley and Standard & Poor's research ratings have been normalized to a 1 (Buy), 2 (Hold), and 3 (Sell). Please refer to the end of this statement for a summary guide describing CIRA, Morgan Stanley and Standard & Poor's ratings. Morgan Stanley Smith Barney is not the author of, does not take responsibility for, and does not guarantee the accuracy, completeness, or timeliness of research prepared for Standard & Poor's.

Security Description	Quantity	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
BLACKROCK INTL GRWTH & INC TR (BGY)	285.000	\$4,675.20	\$2,898.45	\$(1,776.75)	\$387.60	13.37
Share Price: \$10.170; Next Dividend Payable 03/11						
EATON VANCE TAX MGD DIV EQU FD (EXG)	280.000	4,622.15	2,948.40	(1,673.75)	318.36	10.79
Share Price: \$10.530; Next Dividend Payable 02/11						

CONTINUED

PERSONAL  
ACCOUNTS

RETIREMENT  
ACCOUNTS

EDUCATION  
ACCOUNTS

TRUST  
ACCOUNTS

BUSINESS  
ACCOUNTS

CLIENT STATEMENT | For the Period December 1-31, 2010

HON CAROLYN MCCARTHY

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

Security Description	Quantity	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
EATON VANCE TAX-MNGD GLBL (ETW)	300.000	4,262.79	3,675.00	(587.79)	363.00	9.87
Share Price: \$12.250; Next Dividend Payable 03/11						
FORD MOTOR CO NEW (F)	500.000	6,405.35	8,395.00	1,989.65	—	—
Share Price: \$16.790; Rating: Morgan Stanley: 1, Citigroup: 2H, S&P: 2						
GENERAL ELECTRIC CO (GE)	200.000	1,746.79	3,658.00	1,911.21	112.00	3.06
Share Price: \$18.290; Rating: Morgan Stanley: 1, Citigroup: 1M, S&P: 1; Next Dividend Payable 01/25/11						
GREAT PLAINS ENERGY INC (GXP)	300.000	8,893.35	5,817.00	(3,076.35)	249.00	4.28
Share Price: \$19.390; Rating: S&P: 2; Next Dividend Payable 03/11						
ISHARES IBOX \$ H/Y CORP BND (HYG)	50.000	4,365.85	4,514.50	148.65	372.55	8.25
Share Price: \$90.290; Next Dividend Payable 01/04/11						
ISHARES S&P GROW ALLOCATION (AOR)	150.000	4,379.45	4,731.00	351.55	87.15	1.84
Share Price: \$31.540; Next Dividend Payable 03/11						
MOTOROLA INC (MOT)	200.000	3,701.35	1,814.00	(1,887.35)	—	—
Share Price: \$9.070; Rating: Morgan Stanley: 1, Citigroup: 2H, S&P: 1						
NFJ DIVIDEND INT & PRE STRGY (NFJ)	505.000	12,625.00	8,842.55	(3,782.45)	303.00	3.42
Share Price: \$17.510; Next Dividend Payable 01/07/11						
PROCTER & GAMBLE (PG)	200.000	3,125.67	12,866.00	9,740.33	385.40	2.99
Share Price: \$64.330; Rating: Morgan Stanley: 2, Citigroup: 1L, S&P: 1; Next Dividend Payable 02/11						
TECHNICOLOR ADR NEW (TCH)	20.000	3,769.94	95.20	(3,674.74)	—	—
Share Price: \$4.760						
U S BANCORP COM NEW (USB)	200.000	6,967.35	5,394.00	(1,573.35)	40.00	0.74
Share Price: \$26.970; Rating: Morgan Stanley: 2, Citigroup: 1M, S&P: 1; Next Dividend Payable 01/18/11						
VAN ECK GLBL ALTERNATIVE ENGY (GEX)	90.000	1,561.37	1,800.90	239.53	17.10	0.94
Share Price: \$20.010						
	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
STOCKS	49.9%	\$71,101.61	\$67,450.00	\$(3,651.61)	\$2,635.16 \$0.00	3.91%

# Morgan Stanley Smith Barney

CLIENT STATEMENT | For the Period December 1-31, 2010

HON CAROLYN MCCARTHY

## Holdings

### MUTUAL FUNDS

#### OTHER MUTUAL FUNDS

Security Description		Quantity	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>FIDELITY ADV EMERG ASIA B (FERBX)</b>	<b>Purchases</b>	98.000	\$2,530.35	<b>\$2,960.58</b>	\$430.23		
Reinvestments		6.930	201.81	209.36	7.55		
	<b>Total</b>	104.930	2,732.16	<b>3,169.94</b>	437.78	—	—
Market Value vs Total Purchases +			2,530.35	3,169.94			
Net Value Increase/(Decrease)				639.59			
<i>Share Price: \$30.210; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>							
<b>FIDELITY ADV ENERGY B (FANRX)</b>	<b>Purchases</b>	50.000	2,046.00	<b>1,686.00</b>	(360.00)		
Reinvestments		18.028	715.53	607.90	(107.63)		
	<b>Total</b>	68.028	2,761.53	<b>2,293.90</b>	(467.63)	—	—
Market Value vs Total Purchases +			2,046.00	2,293.90			
Net Value Increase/(Decrease)				247.90			
<i>Share Price: \$33.720; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>							
<b>FIDELITY ADV HEALTH CARE B (FAHTX)</b>	<b>Purchases</b>	394.000	8,786.20	<b>8,183.38</b>	(602.82)		
Reinvestments		46.000	918.23	955.42	37.19		
	<b>Total</b>	440.000	9,704.43	<b>9,138.80</b>	(565.63)	—	—
Market Value vs Total Purchases +			8,786.20	9,138.80			
Net Value Increase/(Decrease)				352.60			
<i>Share Price: \$20.770; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>							
<b>FIDELITY ADV LATIN AMERICA B (FLFBX)</b>	<b>Purchases</b>	47.596	2,167.17	<b>2,811.97</b>	644.80		
Reinvestments		3.568	209.38	210.80	1.42		
	<b>Total</b>	51.164	2,376.55	<b>3,022.77</b>	646.22	2.00	0.06
Market Value vs Total Purchases +			2,167.17	3,022.77			
Net Value Increase/(Decrease)				855.60			
<i>Share Price: \$59.080; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>							
<b>FIDELITY ADV LVGD CMPNY STK B (FLCBX)</b>	<b>Purchases</b>	116.000	3,956.76	<b>3,807.12</b>	(149.64)		
Reinvestments		3.000	106.43	98.46	(7.97)		
	<b>Total</b>	119.000	4,063.19	<b>3,905.58</b>	(157.61)	—	—
Market Value vs Total Purchases +			3,956.76	3,905.58			
Net Value Increase/(Decrease)				(51.18)			
<i>Share Price: \$32.820; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>							
<b>FIDELITY ADV REAL ESTATE B (FHEBX)</b>	<b>Purchases</b>	138.000	2,496.42	<b>2,249.40</b>	(247.02)		
Reinvestments		6.377	64.57	103.95	39.38		

CONTINUED

PERSONAL  
ACCOUNTS

RETIREMENT  
ACCOUNTS

EDUCATION  
ACCOUNTS

TRUST  
ACCOUNTS

BUSINESS  
ACCOUNTS

# Morgan Stanley Smith Barney

CLIENT STATEMENT | For the Period December 1-31, 2010

HON CAROLYN MCCARTHY

## Holdings

### MUTUAL FUNDS

#### OTHER MUTUAL FUNDS (CONTINUED)

Security Description		Quantity	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	<b>Total</b>	144.377	2,560.99	2,353.35	(207.64)	24.00	1.01
Market Value vs Total Purchases +			2,496.42	2,353.35			
Net Value Increase/(Decrease)				(143.07)			
<i>Share Price: \$16.300; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>							
<b>FIDELITY ADV SMALL CAP B (FSCBX)</b>	<b>Purchases</b>	182.000	4,309.75	4,062.24	(247.51)		
Reinvestments		24.020	466.82	536.13	69.31		
	<b>Total</b>	206.020	4,776.57	4,598.37	(178.20)	—	—
Market Value vs Total Purchases +			4,309.75	4,598.37			
Net Value Increase/(Decrease)				288.62			
<i>Share Price: \$22.320; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>							
<b>FIDELITY ADV STRAT DIV &amp; INC B (FBSDX)</b>	<b>Purchases</b>	297.000	3,959.01	3,118.50	(840.51)		
Reinvestments		35.053	375.29	368.06	(7.23)		
	<b>Total</b>	332.053	4,334.30	3,486.56	(847.74)	128.00	3.67
Market Value vs Total Purchases +			3,959.01	3,486.56			
Net Value Increase/(Decrease)				(472.45)			
<i>Share Price: \$10.500; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>							
<b>PIONEER BOND A (PIOBX)</b>	<b>Purchases</b>	2.000	0.00	19.10	0.00		
Reinvestments		0.010	0.10	0.10	0.00		
	<b>Total</b>	2.010	0.10	19.20	0.00	—	—
Market Value vs Total Purchases +			N/A	19.20			
Net Value Increase/(Decrease)				N/A			
<i>Share Price: \$9.550; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>							
<b>PIONEER CLASSIC BALANCED B (ASBBX)</b>	<b>Purchases</b>	813.000	9,040.56	7,495.86	(1,544.70)		
Reinvestments		180.549	1,662.33	1,664.66	2.33		
	<b>Total</b>	993.549	10,702.89	9,160.52	(1,542.37)	152.00	1.65
Market Value vs Total Purchases +			9,040.56	9,160.52			
Net Value Increase/(Decrease)				119.96			

CONTINUED

CLIENT STATEMENT | For the Period December 1-31, 2010

HON CAROLYN MCCARTHY

## Holdings

### MUTUAL FUNDS

#### OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Quantity	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<i>Share Price: \$9.220; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>						
<b>PIONEER EQUITY INC B (PBEQX)</b>	<b>Purchases</b>	289.000	9,895.35	7,282.80	(2,612.55)	
Reinvestments	34.103	918.00	859.40	(58.60)		
<b>Total</b>	<b>323.103</b>	<b>10,813.35</b>	<b>8,142.20</b>	<b>(2,671.15)</b>	<b>52.00</b>	<b>0.63</b>
Market Value vs Total Purchases + Net Value Increase/(Decrease)		9,895.35	8,142.20	(1,753.15)		
<i>Share Price: \$25.200; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>						
<b>PIONEER HIGH YIELD B (TBHYX)</b>	<b>Purchases</b>	388.000	4,601.71	3,969.24	(632.47)	
Reinvestments	476.773	5,384.19	4,877.39	(506.80)		
<b>Total</b>	<b>864.773</b>	<b>9,985.90</b>	<b>8,846.63</b>	<b>(1,139.27)</b>	<b>360.00</b>	<b>4.06</b>
Market Value vs Total Purchases + Net Value Increase/(Decrease)		4,601.71	8,846.63	4,244.92		
<i>Share Price: \$10.230; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest</i>						

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
MUTUAL FUNDS	43.0%	\$64,811.96	\$58,137.82	\$(6,693.24)	\$718.00 \$0.00	1.24%

Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page.  
For more information about the pricing of Money Market Funds, please see the Disclosures section of the statement.

+ Net Value Increase/(Decrease) compares your Total Purchases (excluding Dividend Reinvestments) with the Market Value of all shares you hold of the fund. This calculation is for informational purposes only, does not reflect your total unrealized gain or loss and should not be used for tax purposes.

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
TOTAL MARKET VALUE	100.0%	\$135,913.57	\$135,220.95	\$(10,344.85)	\$3,356.16 \$0.00	2.48%

TOTAL VALUE (includes accrued interest)

\$135,220.95

Unrealized Gain/Loss Totals only reflect positions that have cost basis information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.



**Customer Service: 866-324-6088**

**This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.**

IRS 2010 FORM 1099-DIV - DIVIDENDS AND DISTRIBUTIONS BOX OMB NO. 1545-0110		
1a.	TOTAL ORDINARY DIVIDENDS	\$2,581.40
1b.	QUALIFIED DIVIDENDS	\$1,520.49
2a.	TOTAL CAPITAL GAIN DISTRIBUTIONS	\$48.69
2b.	UNRECAP. SEC. 1250 GAIN	\$0.00
2d.	COLLECTIBLES (28%) GAIN	\$0.00
3.	NON-DIVIDEND DISTRIBUTIONS	\$105.66
4.	FEDERAL INCOME TAX WITHHELD	\$0.00
5.	INVESTMENT EXPENSES	\$0.00
6.	FOREIGN TAX PAID	\$37.33
8.	CASH LIQUIDATION DISTRIBUTIONS	\$0.00
9.	NON-CASH LIQUIDATION DISTRIBUTIONS	\$0.00

IRS 2010 FORM 1099-OID - ORIGINAL ISSUE DISCOUNT BOX OMB NO. 1545-0117		
1.	ORIGINAL ISSUE DISCOUNT FOR 2010	\$0.00*
2.	OTHER PERIODIC INTEREST	\$0.00
4.	FEDERAL INCOME TAX WITHHELD	\$0.00
6.	OID ON U.S. TREASURY OBLIGATIONS	\$0.00*
7.	INVESTMENT EXPENSES	\$0.00

\*This may not be the correct figure to report on your income tax return.  
See instructions on the back.

IRS 2010 FORM 1099-INT - INTEREST INCOME BOX OMB NO. 1545-0112		
1.	INTEREST INCOME	\$2.21
2.	EARLY WITHDRAWAL PENALTY	\$0.00
3.	INTEREST ON U.S. SAVINGS BONDS AND TREASURY OBLIGATIONS	\$0.00
4.	FEDERAL INCOME TAX WITHHELD	\$0.01
5.	INVESTMENT EXPENSES	\$0.00
6.	FOREIGN TAX PAID	\$0.00
8.	TAX-EXEMPT INTEREST	\$250.76
9.	SPECIFIED PRIVATE ACTIVITY BOND INTEREST	\$0.00
10.	TAX-EXEMPT BOND CUSIP NO.	Various

IRS 2010 FORM 1099-MISC - MISCELLANEOUS INCOME BOX OMB NO. 1545-0115		
1.	RENTS	\$0.00
2.	ROYALTIES	\$0.00
3.	OTHER INCOME	\$0.00
4.	FEDERAL INCOME TAX WITHHELD	\$0.00
8.	SUBSTITUTE PAYMENTS IN LIEU OF DIVIDENDS OR INTEREST	\$0.00

IRS 2010 FORM 1099-B - PROCEEDS FROM BROKER AND BARTER EXCHANGE BOX TRANSACTIONS OMB NO. 1545-0715		
2.	GROSS PROCEEDS LESS COMMISSIONS ON STOCKS, BONDS, ETC	\$8,305.47
4.	FEDERAL INCOME TAX WITHHELD	\$0.00



## 1099-DIV DIVIDENDS &amp; DISTRIBUTIONS

## Total Ordinary Dividends

DESCRIPTION	CUSIP	PAY DATE	ORDINARY DIVIDENDS	QUALIFIED DIVIDENDS	FEDERAL INCOME TAX WITHHELD	FOREIGN TAX PAID	COUNTRY	NOTES
ABBOTT LABORATORIES	002824100	11/15/10	\$19.36	\$19.36	\$0.00	\$0.00		
AMEREN CORP (HLDG CO)	023608102	12/31/10	\$19.25	\$19.25	\$0.00	\$0.00		
AT&T INC	00206R102	11/01/10	\$31.08	\$31.08	\$0.00	\$0.00		
CDN PACIFIC RY LTD NEW	13645T100	10/25/10	\$3.45	\$3.45	\$0.00	\$0.52	CANADA	
CENOVUS ENERGY INC COM	15135U109	12/31/10	\$6.98	\$6.98	\$0.00	\$1.05	CANADA	
COCA COLA CO	191216100	12/15/10	\$16.72	\$16.72	\$0.00	\$0.00		
CONOCOPHILLIPS	20825C104	12/01/10	\$20.90	\$20.90	\$0.00	\$0.00		
CONS STAPLES SEL SECT SPDR FD	81369Y308	12/29/10	\$23.00	\$23.00	\$0.00	\$0.00		
DIAMOND OFFSHORE DRILLING INC	25271C102	12/01/10	\$23.63	\$23.63	\$0.00	\$0.00		
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$13.72	\$13.72	\$0.00	\$0.00		
ENCANA CORP	292505104	12/31/10	\$7.00	\$7.00	\$0.00	\$1.05	CANADA	
ENERGY SEL SECT SPDR FD	81369Y506	12/29/10	\$29.29	\$29.29	\$0.00	\$0.00		
FIRST TR ISE REVERE NAT GAS	33734J102	12/31/10	\$0.82	\$0.82	\$0.00	\$0.00		
HUDSON CITY BANCORP INC.	443683107	11/30/10	\$8.40	\$8.40	\$0.00	\$0.00		
ISHARES BARCLAYS AGG.BD FD	464287226	10/07/10	\$52.90	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS AGG.BD FD	464287226	11/05/10	\$55.11	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS AGG.BD FD	464287226	12/07/10	\$98.71	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS AGG.BD FD	464287226	01/04/11	\$68.78	\$0.00	\$0.00	\$0.00		OS
ISHARES BARCLAYS TIPS BD FD	464287176	10/07/10	\$13.54	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS TIPS BD FD	464287176	11/05/10	\$25.48	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS TIPS BD FD	464287176	12/07/10	\$17.86	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS TIPS BD FD	464287176	01/04/11	\$26.26	\$0.00	\$0.00	\$0.00		OS
ISHARES DJ US BASIC MTL SCTR	464287838	09/29/10	\$32.00	\$32.00	\$0.00	\$0.00		
ISHARES DJ US BASIC MTL SCTR	464287838	12/29/10	\$46.65	\$46.65	\$0.00	\$0.00		
ISHARES DJ US TECH INDEX FUND	464287721	09/29/10	\$6.64	\$6.64	\$0.00	\$0.00		
ISHARES DJ US TECH INDEX FUND	464287721	12/29/10	\$7.40	\$7.40	\$0.00	\$0.00		
ISHARES FTSE/CHINA 25 INDEX FD	464287184	12/30/10	\$19.52	\$19.52	\$0.00	\$2.60	VARIOUS	
ISHARES IBOXX \$ H/Y CORP BND	464288513	10/07/10	\$82.17	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX \$ H/Y CORP BND	464288513	11/05/10	\$84.19	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX \$ H/Y CORP BND	464288513	12/07/10	\$82.34	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX \$ H/Y CORP BND	464288513	01/04/11	\$80.73	\$0.00	\$0.00	\$0.00		OS
ISHARES IBOXX INVEST GR COR FD	464287242	10/07/10	\$45.54	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX INVEST GR COR FD	464287242	11/05/10	\$45.35	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX INVEST GR COR FD	464287242	12/07/10	\$44.75	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX INVEST GR COR FD	464287242	01/04/11	\$44.91	\$0.00	\$0.00	\$0.00		OS
ISHARES MSCI AUST INDEX FUND	464286103	12/30/10	\$190.27	\$190.27	\$0.00	\$2.10	VARIOUS	
ISHARES MSCI SPAIN INDEX FUND	464286764	12/30/10	\$63.56	\$58.40	\$0.00	\$8.02	VARIOUS	
ISHARES S&P MID CAP 400 VALUE	464287705	09/30/10	\$51.04	\$45.47	\$0.00	\$0.00		
ISHARES S&P MID CAP 400 VALUE	464287705	12/30/10	\$63.42	\$56.50	\$0.00	\$0.00		
ISHARES S&P SMALL CAP 600 VAL	464287879	09/30/10	\$35.93	\$32.27	\$0.00	\$0.00		

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## 1099-DIV DIVIDENDS &amp; DISTRIBUTIONS (continued)

DESCRIPTION	CUSIP	PAY DATE	ORDINARY DIVIDENDS	QUALIFIED DIVIDENDS	FEDERAL INCOME TAX WITHHELD	FOREIGN TAX PAID	COUNTRY	NOTES
ISHARES S&P SMALL CAP 600 VAL	464287879	12/30/10	\$62.20	\$55.86	\$0.00	\$0.00		
ISHARES S&P 500 VALUE INDEX	464287408	09/30/10	\$70.35	\$70.35	\$0.00	\$0.00		
ISHARES S&P 500 VALUE INDEX	464287408	12/30/10	\$69.74	\$69.74	\$0.00	\$0.00		
ISHARES TR S&P NATL MUN BD FD	464288414	10/07/10	\$0.46	\$0.00	\$0.00	\$0.00		
ISHARES TR S&P NATL MUN BD FD	464288414	11/05/10	\$0.44	\$0.00	\$0.00	\$0.00		
ISHARES TR S&P NATL MUN BD FD	464288414	12/07/10	\$0.45	\$0.00	\$0.00	\$0.00		
ISHARES TR S&P NATL MUN BD FD	464288414	01/04/11	\$0.45	\$0.00	\$0.00	\$0.00		OS
JEFFERIES TR/J CRB GLBL IND	00162Q601	12/29/10	\$5.15	\$5.15	\$0.00	\$0.00		
KRAFT FOODS INC CL A	50075N104	10/14/10	\$18.27	\$18.27	\$0.00	\$0.00		
LOCKHEED MARTIN CORP	539830109	12/31/10	\$18.75	\$18.75	\$0.00	\$0.00		
MARATHON OIL CO	565849106	12/10/10	\$15.50	\$15.50	\$0.00	\$0.00		
MICROSOFT CORP	594918104	12/09/10	\$38.40	\$38.40	\$0.00	\$0.00		
MITSUMI & CO LTD ADR	606827202	12/09/10	\$28.51	\$28.51	\$0.00	\$2.00	JAPAN	
PFIZER INC	717081103	12/01/10	\$36.90	\$36.90	\$0.00	\$0.00		
POWERSHARES WATER RES PTF	73935X575	12/31/10	\$11.46	\$11.46	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	10/29/10	\$1.12	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	11/30/10	\$1.06	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	12/31/10	\$1.32	\$0.00	\$0.00	\$0.00		
QUALCOMM INC	747525103	12/22/10	\$6.65	\$6.65	\$0.00	\$0.00		
REVENUESHARES LARGE CAP ETF	761396100	10/08/10	\$29.24	\$29.24	\$0.00	\$0.00		
REVENUESHARES LARGE CAP ETF	761396100	01/07/11	\$29.56	\$29.56	\$0.00	\$0.00		OS
REVENUESHARES MID CAP ETF	761396209	10/08/10	\$10.93	\$10.93	\$0.00	\$0.00		
REVENUESHARES MID CAP ETF	761396209	01/07/11	\$13.76	\$13.76	\$0.00	\$0.00		OS
REVENUESHARES SMALL CAP ETF	761396308	10/08/10	\$5.15	\$5.15	\$0.00	\$0.00		
REVENUESHARES SMALL CAP ETF	761396308	01/07/11	\$19.17	\$19.17	\$0.00	\$0.00		OS
ROYAL DUTCH SHELL PLC	780259206	12/17/10	\$47.88	\$47.88	\$0.00	\$7.18	NETHERLANDS	
S&P NORTH AMER NAT RES SECTOR	464287374	12/30/10	\$39.67	\$39.67	\$0.00	\$0.00		
STAPLES INC	855030102	10/14/10	\$8.10	\$8.10	\$0.00	\$0.00		
SUPERVALU INC	868536103	12/15/10	\$7.00	\$7.00	\$0.00	\$0.00		
TOTAL FINA ELF SA	89151E109	12/07/10	\$46.27	\$46.27	\$0.00	\$11.57	FRANCE	
TRANSCANADA CORP(HLDG CO)	89353D107	10/29/10	\$8.24	\$8.24	\$0.00	\$1.24	CANADA	
UNILEVER PLC (NEW) ADS	904767704	12/15/10	\$8.75	\$8.75	\$0.00	\$0.00		
VALERO ENERGY CP DELA NEW	91913Y100	12/15/10	\$3.60	\$3.60	\$0.00	\$0.00		
VAN ECK GLBL ALTERNATIVE ENGY	57060U407	12/30/10	\$19.00	\$12.46	\$0.00	\$0.00		
VANGUARD MEGA CAP 300 VALUE	921910840	09/30/10	\$36.90	\$36.90	\$0.00	\$0.00		
VANGUARD MEGA CAP 300 VALUE	921910840	12/29/10	\$39.30	\$39.30	\$0.00	\$0.00		
VANGUARD TOTAL BOND MARKET	921937835	10/07/10	\$33.47	\$0.00	\$0.00	\$0.00		
VANGUARD TOTAL BOND MARKET	921937835	11/05/10	\$34.21	\$0.00	\$0.00	\$0.00		
VANGUARD TOTAL BOND MARKET	921937835	12/07/10	\$32.95	\$0.00	\$0.00	\$0.00		

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**1099-DIV DIVIDENDS & DISTRIBUTIONS (continued)**

DESCRIPTION	CUSIP	PAY DATE	ORDINARY DIVIDENDS	QUALIFIED DIVIDENDS	FEDERAL INCOME TAX WITHHELD	FOREIGN TAX PAID	COUNTRY	NOTES
VANGUARD TOTAL BOND MARKET	921937835	12/31/10	\$52.17	\$0.00	\$0.00	\$0.00		
WINDSTREAM CORP	97381W104	10/15/10	\$60.25	\$60.25	\$0.00	\$0.00		
<b>Total Ordinary Dividends</b> 1099-DIV box 1a			<b>\$2,581.40</b>					
<b>Total Qualified Dividends</b> 1099-DIV box 1b				<b>\$1,520.49</b>				
<b>Total Foreign Tax Paid</b> 1099-DIV box 6						<b>\$37.33</b>		

**Capital Gain Distributions**

DESCRIPTION	CUSIP	PAY DATE	CAPITAL GAIN DISTRIBUTIONS	UNRECAPTURED 1250 GAIN	FEDERAL INCOME TAX WITHHELD	COLLECTIBLE 28% GAIN
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$1.58	\$0.00	\$0.00	\$0.00
ISHARES BARCLAYS AGG.BD FD	464287226	12/07/10	\$11.86	\$0.00	\$0.00	\$0.00
VANGUARD TOTAL BOND MARKET	921937835	12/31/10	\$35.25	\$0.00	\$0.00	\$0.00
<b>Total Capital Gain Distributions</b> 1099-DIV box 2a			<b>\$48.69</b>			
<b>Total Unrecaptured 1250 Gain</b> 1099-DIV box 2b				<b>\$0.00</b>		
<b>Total Collectible 28% Gain</b> 1099-DIV box 2d						<b>\$0.00</b>

**Non-Dividend Distributions**

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$105.66	\$0.00
<b>Total Non-Dividend Distributions</b> 1099-DIV box 3			<b>\$105.66</b>	
<b>Total Federal Income Tax Withheld</b> 1099-DIV box 4				<b>\$0.00</b>

OS The fund company has determined that this dividend payment which you received in 2011 is reportable as taxable income for 2010.

**1099-INT INTEREST INCOME**
**Interest Income**

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD
MORGAN STANLEY BANK N.A.	061870903	09/29/10	\$0.04	\$0.01
MORGAN STANLEY BANK N.A.	061870903	10/28/10	\$0.21	\$0.00
MORGAN STANLEY BANK N.A.	061870903	11/29/10	\$0.88	\$0.00
MORGAN STANLEY BANK N.A.	061870903	12/30/10	\$1.08	\$0.00
<b>Total Interest Income 1099-INT box 1</b>			<b>\$2.21</b>	

**Tax-Exempt Interest**

DESCRIPTION	CUSIP	PAY DATE	TAX-EXEMPT INTEREST	FEDERAL INCOME TAX WITHHELD	SPECIFIED PRIVATE ACTIVITY BOND INTEREST
ISHARES TR S&P NATL MUN BD FD	464288414	10/07/10	\$30.11	\$0.00	\$0.00
ISHARES TR S&P NATL MUN BD FD	464288414	11/05/10	\$29.03	\$0.00	\$0.00
ISHARES TR S&P NATL MUN BD FD	464288414	12/07/10	\$29.46	\$0.00	\$0.00
ISHARES TR S&P NATL MUN BD FD	464288414	01/04/11	\$29.52	\$0.00	\$0.00
PWRSHARES INSURED NY MUNI BND	73936T458	10/29/10	\$42.44	\$0.00	\$0.00
PWRSHARES INSURED NY MUNI BND	73936T458	11/30/10	\$40.19	\$0.00	\$0.00
PWRSHARES INSURED NY MUNI BND	73936T458	12/31/10	\$50.01	\$0.00	\$0.00
<b>Total Tax-Exempt Interest 1099-INT box 8</b>			<b>\$250.76</b>		
<b>Total Specified Private Activity Bond Interest 1099-INT box 9</b>					<b>\$0.00</b>
<b>Total Federal Income Tax Withheld 1099-INT box 4</b>				<b>\$0.01</b>	

The amount of tax-exempt interest paid to you in 2010 must be reported on the applicable Form 1040, U.S. Individual Income Tax Return, for 2010. The amount of tax-exempt AMT interest paid to you in 2010 must be taken into account in computing the alternative minimum tax reported on Form 1040 for 2010.

**REALIZED GAIN/(LOSS) SUMMARY**

This Gain and Loss Summary is provided for informational purposes only. It is important that you consult with a professional tax advisor regarding your individual tax situation, as Morgan Stanley Smith Barney LLC ("Morgan Stanley Smith Barney") cannot provide you with tax advice. Although Morgan Stanley Smith Barney is providing this information as an additional service, we do not guarantee that it is sufficient for tax reporting purposes, and are not liable for your reliance upon or use of this information. The Gain and Loss Summary is not a substitute 1099 form (or any other appropriate tax form), has not been supplied to the IRS and should not be filed with your taxes.

If cost basis information is not available, gain or (loss) will not be reflected on this Summary. For securities not purchased through Morgan Stanley Smith Barney, including securities purchased elsewhere and later transferred to Morgan Stanley Smith Barney, cost basis information may not be provided. To correct any information supplied by Morgan Stanley Smith Barney, please inform your Financial Advisor. To add cost basis information, you may either inform your Financial Advisor or input the data directly yourself through our client-only Web site, ClientServ. Morgan Stanley Smith Barney will adjust cost basis as appropriate in accordance with tax laws. However, Morgan Stanley Smith Barney does not adjust for all events and you should contact your tax advisor to determine the appropriate information to be used in the preparation of your tax return.

**Long Term**

DESCRIPTION	SYMBOL	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	TOTAL COST ORIGINAL/ ADJUSTED	REALIZED GAIN/(LOSS)
AETNA INC (NEW)(CT)	AET	30.000	01/07/2009	10/25/2010	\$898.00	\$874.52 E	\$23.48
AETNA INC (NEW)(CT)	AET	10.000	01/08/2009	10/25/2010	\$299.33	\$290.35 E	\$8.98
AETNA INC (NEW)(CT)	AET	12.000	01/14/2009	10/25/2010	\$359.20	\$312.24 E	\$46.96
AETNA INC (NEW)(CT)	AET	19.000	01/28/2009	10/25/2010	\$568.73	\$633.82 E	\$(65.09)
ALTRIA GROUP INC	MO	9.000	08/31/2007	10/25/2010	\$215.57	\$190.38 E	\$25.19
ALTRIA GROUP INC	MO	10.000	01/04/2008	10/25/2010	\$239.52	\$230.69 E	\$8.83
ALTRIA GROUP INC	MO	72.000	04/10/2008	10/25/2010	\$1,724.53	\$1,547.32 E	\$177.21
KIMBERLY CLARK CORP	KMB	17.000	03/24/2006	10/25/2010	\$1,067.71	\$1,006.24 E	\$61.47
KIMBERLY CLARK CORP	KMB	12.000	03/15/2007	10/25/2010	\$753.68	\$804.12 E	\$(50.44)
REYNOLDS AMERICAN INC	RAI	14.000	03/24/2006	10/25/2010	\$847.46	\$748.16 E	\$99.30
REYNOLDS AMERICAN INC	RAI	22.000	03/15/2007	10/25/2010	\$1,331.73	\$1,321.10 E	\$10.63
<b>Total Long Term</b>					<b>\$8,305.46</b>		<b>\$346.52</b>

The "Total Cost" for Unit Trusts, Mortgage-Backed Securities, and Zero Coupon Bonds have been adjusted to reflect any partial return of principal or capital that may have been paid to you, or accreted interest earned, since your purchase date. In the event that the accumulated total return of principal or capital is greater than the provided original costs, the adjusted cost will be "0.00".

<sup>E</sup> This transaction was executed elsewhere and the securities were later transferred to your Morgan Stanley Smith Barney LLC account. The trade history for this transaction was provided to Morgan Stanley Smith Barney LLC by your prior financial institution.



**This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.**

**IRS 2010 FORM 1099-DIV - DIVIDENDS AND DISTRIBUTIONS**  
**BOX OMB NO. 1545-0110 \*\*CORRECTED\*\***

1a.	TOTAL ORDINARY DIVIDENDS	\$1,678.48
1b.	QUALIFIED DIVIDENDS	\$644.30
2a.	TOTAL CAPITAL GAIN DISTRIBUTIONS	\$139.27
2b.	UNRECAP. SEC. 1250 GAIN	\$0.00
2d.	COLLECTIBLES (28%) GAIN	\$0.00
3.	NON-DIVIDEND DISTRIBUTIONS	\$278.08
4.	<b>FEDERAL INCOME TAX WITHHELD</b>	<b>\$0.00</b>
5.	INVESTMENT EXPENSES	\$0.00
6.	FOREIGN TAX PAID	\$36.32
8.	CASH LIQUIDATION DISTRIBUTIONS	\$0.00
9.	NON-CASH LIQUIDATION DISTRIBUTIONS	\$0.00

**IRS 2010 FORM 1099-OID - ORIGINAL ISSUE DISCOUNT**  
**BOX OMB NO. 1545-0117**

1.	ORIGINAL ISSUE DISCOUNT FOR 2010	\$0.00*
2.	OTHER PERIODIC INTEREST	\$0.00
4.	<b>FEDERAL INCOME TAX WITHHELD</b>	<b>\$0.00</b>
6.	OID ON U.S. TREASURY OBLIGATIONS	\$75.10*
7.	INVESTMENT EXPENSES	\$0.00

\*This may not be the correct figure to report on your income tax return.  
See instructions on the back.

**IRS 2010 FORM 1099-INT - INTEREST INCOME**  
**BOX OMB NO. 1545-0112**

1.	INTEREST INCOME	\$4.44
2.	EARLY WITHDRAWAL PENALTY	\$0.00
3.	INTEREST ON U.S. SAVINGS BONDS AND TREASURY OBLIGATIONS	\$315.00
4.	<b>FEDERAL INCOME TAX WITHHELD</b>	<b>\$0.04</b>
5.	INVESTMENT EXPENSES	\$0.00
6.	FOREIGN TAX PAID	\$0.00
8.	TAX-EXEMPT INTEREST	\$1,103.64
9.	SPECIFIED PRIVATE ACTIVITY BOND INTEREST	\$89.38
10.	TAX-EXEMPT BOND CUSIP NO.	Various

**IRS 2010 FORM 1099-MISC - MISCELLANEOUS INCOME**  
**BOX OMB NO. 1545-0115**

1.	RENTS	\$0.00
2.	ROYALTIES	\$0.00
3.	OTHER INCOME	\$0.00
4.	<b>FEDERAL INCOME TAX WITHHELD</b>	<b>\$0.00</b>
8.	SUBSTITUTE PAYMENTS IN LIEU OF DIVIDENDS OR INTEREST	\$0.00

**IRS 2010 FORM 1099-B - PROCEEDS FROM BROKER AND BARTER EXCHANGE**  
**BOX TRANSACTIONS OMB NO. 1545-0715**

2.	GROSS PROCEEDS LESS COMMISSIONS ON STOCKS, BONDS, ETC	\$0.00
4.	<b>FEDERAL INCOME TAX WITHHELD</b>	<b>\$0.00</b>



## 1099-DIV DIVIDENDS &amp; DISTRIBUTIONS

## Total Ordinary Dividends

DESCRIPTION	CUSIP	PAY DATE	ORDINARY DIVIDENDS	QUALIFIED DIVIDENDS	FEDERAL INCOME TAX WITHHELD	FOREIGN TAX PAID	COUNTRY	NOTES
BLDRS EMERGING MKTS 50 ADR	09348R300	12/31/10	\$35.42	\$35.42	\$0.00	\$0.00		
COHEN&STEERS INFRASTRUCTURE FD	19248A109	09/30/10	\$79.20	\$62.69	\$0.00	\$0.00		CR
COHEN&STEERS INFRASTRUCTURE FD	19248A109	12/31/10	\$61.91	\$49.01	\$0.00	\$0.00		CR
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$17.14	\$17.14	\$0.00	\$0.00		
ING GROEP NV 6.1250% SER	456837509	10/15/10	\$90.73	\$90.73	\$0.00	\$0.00		
ISHARES MSCI BRAZIL(FREE)INDEX	464286400	12/30/10	\$262.21	\$8.02	\$0.00	\$17.22	VARIOUS	
ISHARES MSCI BRAZIL(FREE)INDEX	464286400	01/05/11	\$22.29	\$0.68	\$0.00	\$1.46	VARIOUS	OS
JOHN HANCOCK PFD INCM FD III	41021P103	10/29/10	\$56.10	\$28.82	\$0.00	\$0.00		
JOHN HANCOCK PFD INCM FD III	41021P103	11/30/10	\$56.10	\$28.82	\$0.00	\$0.00		
JOHN HANCOCK PFD INCM FD III	41021P103	12/31/10	\$56.10	\$28.82	\$0.00	\$0.00		
MARKET VECT.ENV SERV FD	57060U209	12/30/10	\$62.50	\$62.50	\$0.00	\$0.00		
MARKET VECTORS RUSSIA ETF RUSS	57060U506	12/30/10	\$42.96	\$13.97	\$0.00	\$13.52	VARIOUS	
NEUBERGER BERMAN REAL EST	64190A103	10/29/10	\$5.02	\$0.00	\$0.00	\$0.00		CR
NEUBERGER BERMAN REAL EST	64190A103	11/30/10	\$5.02	\$0.00	\$0.00	\$0.00		CR
NEUBERGER BERMAN REAL EST	64190A103	12/31/10	\$5.02	\$0.00	\$0.00	\$0.00		CR
NFJ DIVIDEND INT & PRE STRGY	65337H109	01/07/11	\$225.00	\$156.35	\$0.00	\$0.00		OS
NUVEEN EQTY PREMIUM OPPTY FD	6706EM102	12/31/10	\$21.76	\$21.76	\$0.00	\$0.00		
PIMCO CORPORATE OPPTY FD	72201B101	11/01/10	\$57.50	\$1.64	\$0.00	\$0.00		
PIMCO CORPORATE OPPTY FD	72201B101	12/01/10	\$57.50	\$1.64	\$0.00	\$0.00		
PIMCO CORPORATE OPPTY FD	72201B101	12/29/10	\$57.50	\$1.64	\$0.00	\$0.00		
PIMCO CORPORATE OPPTY FD	72201B101	01/07/11	\$345.00	\$9.87	\$0.00	\$0.00		OS
PIONEER MUNI HI INCM ADV TR	723762100	12/20/10	\$20.21	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	10/29/10	\$0.17	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	11/30/10	\$0.17	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	12/31/10	\$0.21	\$0.00	\$0.00	\$0.00		
VAN ECK GLBL ALTERNATIVE ENGY	57060U407	12/30/10	\$28.50	\$18.69	\$0.00	\$0.00		
WISDOMTREE INTL BASIC MAT FD	97717W752	12/29/10	\$7.24	\$6.09	\$0.00	\$4.12	VARIOUS	
Total Ordinary Dividends 1099-DIV box 1a			\$1,678.48					
Total Qualified Dividends 1099-DIV box 1b				\$644.30				
Total Foreign Tax Paid 1099-DIV box 6						\$36.32		

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**1099-DIV DIVIDENDS & DISTRIBUTIONS (continued)****Capital Gain Distributions**

DESCRIPTION	CUSIP	PAY DATE	CAPITAL GAIN DISTRIBUTIONS	UNRECAPTURED 1250 GAIN	FEDERAL INCOME TAX WITHHELD	COLLECTIBLE 28% GAIN	NOTES
COHEN&STEERS INFRASTRUCTURE FD	19248A109	12/31/10	\$17.29	\$0.00	\$0.00	\$0.00	CR
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$1.98	\$0.00	\$0.00	\$0.00	
SOURCE CAPITAL INC	836144105	12/15/10	\$120.00	\$0.00	\$0.00	\$0.00	
<b>Total Capital Gain Distributions 1099-DIV box 2a</b>			<b>\$139.27</b>				
<b>Total Unrecaptured 1250 Gain 1099-DIV box 2b</b>				<b>\$0.00</b>			
<b>Total Collectible 28% Gain 1099-DIV box 2d</b>						<b>\$0.00</b>	

**Non-Dividend Distributions**

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD	NOTES
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$132.08	\$0.00	
NEUBERGER BERMAN REAL EST	64190A103	10/29/10	\$3.42	\$0.00	CR
NEUBERGER BERMAN REAL EST	64190A103	11/30/10	\$3.42	\$0.00	CR
NEUBERGER BERMAN REAL EST	64190A103	12/31/10	\$3.42	\$0.00	CR
NUVEEN EQTY PREMIUM OPPTY FD	6706EM102	12/31/10	\$135.74	\$0.00	
<b>Total Non-Dividend Distributions 1099-DIV box 3</b>			<b>\$278.08</b>		
<b>Total Federal Income Tax Withheld 1099-DIV box 4</b>				<b>\$0.00</b>	

OS The fund company has determined that this dividend payment which you received in 2011 is reportable as taxable income for 2010.

**1099-INT INTEREST INCOME****Interest Income**

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD
MORGAN STANLEY BANK N.A.	061870903	09/29/10	\$0.14	\$0.04
MORGAN STANLEY BANK N.A.	061870903	10/28/10	\$1.34	\$0.00

CONTINUED ON NEXT PAGE



## 1099-INT INTEREST INCOME (continued)

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD
MORGAN STANLEY BANK N.A.	061870903	11/29/10	\$1.49	\$0.00
MORGAN STANLEY BANK N.A.	061870903	12/30/10	\$1.47	\$0.00
Total Interest Income 1099-INT box 1			\$4.44	

## Interest on U.S. Savings Bonds and Treasury Obligations

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD
US TSY BOND 9000 18NV15	912810EB0	11/15/10	\$315.00	\$0.00
Total Interest on U.S. Savings Bonds and Treasury Obligations 1099-INT box 3			\$315.00	

## Tax-Exempt Interest

DESCRIPTION	CUSIP	PAY DATE	TAX-EXEMPT INTEREST	FEDERAL INCOME TAX WITHHELD	SPECIFIED PRIVATE ACTIVITY BOND INTEREST	STATE CODE
BLACKROCK NY MUNI INC TRUST	09248L106	11/01/10	\$74.25	\$0.00	\$14.48	
BLACKROCK NY MUNI INC TRUST	09248L106	12/01/10	\$74.25	\$0.00	\$14.48	
BLACKROCK NY MUNI INC TRUST	09248L106	12/31/10	\$74.25	\$0.00	\$14.48	
MONROE IMPT BE 4250 *20JN01	61074PFK8	12/01/10	\$637.50	\$0.00	\$0.00	NY
PIONEER MUNI HI INCM ADV TR	723762100	10/29/10	\$81.00	\$0.00	\$16.70	
PIONEER MUNI HI INCM ADV TR	723762100	11/30/10	\$81.00	\$0.00	\$16.70	
PIONEER MUNI HI INCM ADV TR	723762100	12/20/10	\$60.79	\$0.00	\$12.54	
PWRSHARES INSURED NY MUNI BND	73936T458	10/29/10	\$6.60	\$0.00	\$0.00	
PWRSHARES INSURED NY MUNI BND	73936T458	11/30/10	\$6.24	\$0.00	\$0.00	
PWRSHARES INSURED NY MUNI BND	73936T458	12/31/10	\$7.76	\$0.00	\$0.00	
Total Tax-Exempt Interest 1099-INT box 8			\$1,103.64			
Total Specified Private Activity Bond Interest 1099-INT box 9					\$89.38	
Total Federal Income Tax Withheld 1099-INT box 4				\$0.04		

The amount of tax-exempt interest paid to you in 2010 must be reported on the applicable Form 1040, U.S. Individual Income Tax Return, for 2010. The amount of tax-exempt AMT interest paid to you in 2010 must be taken into account in computing the alternative minimum tax reported on Form 1040 for 2010.

1099-OID ORIGINAL ISSUE DISCOUNT

OID on U.S. Treasury Obligations

DESCRIPTION	CUSIP	PERIOD OID ACCRUAL	INVESTMENT EXPENSES	FEDERAL INCOME TAX WITHHELD
US TSY NOTE TIIN 3000 12JL15	912828AF7	\$75.10	\$0.00	\$0.00
Total OID on U.S. Treasury Obligations 1099-OID box 6		\$75.10		
Total Investment Expenses 1099-OID box 7			\$0.00	
Total Federal Income Tax Withheld 1099-OID box 4				\$0.00

1099-OID SCHEDULES

CUSIP: 912828AF7				DESCRIPTION: US TSY NOTE TIIN 3000 12JL15						
BEG LOT	ACCRUAL DATE	ACCRUAL DAYS	ACCRUAL RATE	FACE AMOUNT	ORIGINAL COST BASIS	ADJUSTED COST BASIS	PERIOD OID ACCRUAL	PERIOD OID ADJUSTMENT	PERIOD BOND PREMIUM	PERIOD MARKET DISCOUNT
01	09/24/10	099	0.0399255	\$19,000.00	\$0.00	\$0.00	\$75.10	\$0.00	\$0.00	\$0.00
CUSIP TOTALS:							\$75.10	\$0.00	\$0.00	\$0.00



Payer:  
Merrill Lynch, Pierce, Fenner & Smith Inc  
1800 Merrill Lynch Drive, MSC 0803  
Pennington, NJ 08534-4129  
Federal Identification Number 13-5674085

\* Account Closed as of  
12/31/10

## 2010 TAX REPORTING STATEMENT

1099-DIV	2010 Dividends and Distributions	(OMB NO. 1545-0110)	1099-INT	2010 Interest Income	(OMB NO. 1545-0112)
		<b>Amount</b>			<b>Amount</b>
1a	Total Ordinary Dividends .....	5,404.21	1	Interest Income .....	30.71
1b	Qualified Dividends .....	3,484.08	2	Early Withdrawal Penalty .....	0.00
2a	Total Capital Gain Distributions .....	4.08	3	Interest On U.S. Savings Bonds and Treasury Obligations .....	0.00
2b	Unrecap. Sec. 1250 Gain .....	0.00	4	Federal Income Tax Withheld .....	0.00
2c	Section 1202 Gain .....	0.00	5	Investment Expenses .....	0.00
2d	Collectibles (28%) Gain .....	0.00	6	Foreign Tax Paid .....	0.00
3	Nondividend Distributions .....	272.54	7	Foreign Country or U.S. Possession .....	
4	Federal Income Tax Withheld .....	0.00	8	Tax Exempt Interest .....	542.48
5	Investment Expenses .....	0.00	9	Specified Private Activity Bond Interest .....	0.00
6	Foreign Tax Paid .....	91.90	10	Tax Exempt Bond Cusip Number .....	Various
7	Foreign Country or U.S. Possession .....	Various			
8	Liquidation Distributions Cash .....	0.00			
9	Liquidation Distributions Non-Cash (Fair Market Value) .....	0.00			

Summary of 2010 Original Issue Discount Items		Summary of 2010 Proceeds from Broker & Barter Exchange Transactions	
	<b>Amount</b>		<b>Amount</b>
1	Original Issue Discount .....	2	Gross Proceeds Less Commissions .....
6	Original Issue Discount on U.S. Treasury Obligations .....	4	Federal Income Tax Withheld .....
			52,478.27
			0.00
Amounts of Original Issue Discount are individually reported to the Internal Revenue Service. Refer to the 2010 Original Issue Discount detail section of this statement.		Gross Proceeds from each of your 2010 securities trades are individually reported to the Internal Revenue Service. Refer to the 2010 Gross Proceeds detail section of this statement.	

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

You may reach a Tax Representative at 1-800-637-6326.

## 2010 TAX REPORTING STATEMENT

Your Tax Reporting Statement information that follows is a personal summary of your account activity and is not reported to the IRS.

The Capital Gain and Loss Transaction section is provided to facilitate your review and the preparation of your tax return. In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that an election was in effect to amortize the premium paid on the purchase of taxable bonds. The gain (loss) information may not include return of capital, sales load deferral or wash sales adjustments. RICs (which may include mutual funds and unit investment trusts) may reclassify principal distributions as capital gains. The Cost Basis for these securities may not have been adjusted on your statement to reflect such reclassifications. Please refer to information provided by the RIC and discuss with your tax advisor. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount (OID) obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

Data from Forms 1099 (reportable Dividend and Interest) is also repeated in this summary for your convenience. Additionally, we have included items such as margin interest and select account fees if applicable. Please discuss the deductibility of these items with your tax advisor. For select clients, we have also included a summary of Visa charges and checking activity.

Merrill Lynch is neither a tax return preparer nor tax advisor. Please see your tax advisor for more information.

### 2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortization/Accretion Year-to-Date      Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
<b>SHORT TERM CAPITAL GAINS</b>							
ISHARES MSCI FRANCE INDX	100.0000	06/29/09	05/12/10		2,249.21	2,077.70	171.51
ISHARES MSCI SOUTH AFRCA	45.0000	06/29/09	03/25/10		2,655.45	2,102.40	553.05
	55.0000	07/17/09	03/25/10		3,245.56	2,658.15	587.41
		<b>Security Subtotal</b>			<b>5,901.01</b>	<b>4,760.55</b>	<b>1,140.46</b>
VANGUARD SMALL CAP VALUE	100.0000	08/20/09	05/11/10		6,176.26	4,958.00	1,218.26
MARKET VECTORS RUSSIA	100.0000	06/29/09	05/24/10		2,826.21	2,092.00	734.21
ISHARES MSCI BRAZIL FREE	40.0000	06/29/09	05/27/10		2,509.15	2,150.00	359.15
	60.0000	07/17/09	05/27/10		3,763.74	3,244.80	518.94
		<b>Security Subtotal</b>			<b>6,272.89</b>	<b>5,394.80</b>	<b>878.09</b>
PANERA BREAD CO CL A	13.0000	04/01/09	03/18/10		1,021.92	721.18	300.74
		<b>Short Term Capital Gains Subtotal</b>			<b>24,447.50</b>	<b>20,004.23</b>	<b>4,443.27</b>

# 2010 TAX REPORTING STATEMENT

## 2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortization/Accretion Year-to-Date	Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
<b>SHORT TERM CAPITAL LOSSES</b>								
ISHARES MSCI ITALY INDEX	100.0000	09/14/09	05/12/10			1,577.75	1,996.64	(418.89)
<b>Short Term Capital Losses Subtotal</b>						<b>1,577.75</b>	<b>1,996.64</b>	<b>(418.89)</b>
<b>NET SHORT TERM CAPITAL GAIN (LOSS)</b>								<b>4,024.38</b>
<b>LONG TERM CAPITAL GAINS</b>								
AFFILIATED COMP SVCS A	19.0000	03/04/08	02/08/10			353.40	187.85	165.56
AGRIUM INC	10.0000	11/12/08	02/12/10			641.80	339.86	301.94
BOEING COMPANY	15.0000	08/08/08	03/18/10			1,058.08	1,002.47	55.61
	20.0000	08/12/08	03/18/10			1,410.78	1,321.99	88.79
	15.0000	01/29/09	03/18/10			1,058.08	610.50	447.58
	7.0000	01/30/09	03/18/10			493.77	289.23	204.54
	19.0000	02/02/09	03/18/10			1,340.26	769.57	570.69
<b>Security Subtotal</b>						<b>5,360.97</b>	<b>3,993.76</b>	<b>1,367.21</b>
ISHARES BARCLAYS TIPS BO	20.0000	06/29/09	08/17/10			2,146.76	2,024.40	122.36
GEN-PROBE INC DELAWARE	16.0000	03/16/09	04/05/10			807.19	721.85	85.34
HALLIBURTON COMPANY	22.0000	11/05/08	04/05/10			698.72	428.51	270.21
	20.0000	01/23/08	04/05/10			635.19	620.86	14.33
<b>Security Subtotal</b>						<b>1,333.91</b>	<b>1,049.37</b>	<b>284.54</b>
HOME DEPOT INC	7.0000	11/30/07	05/24/10			234.49	201.55	32.94
	10.0000	12/12/07	05/24/10			334.99	288.30	46.69
	30.0000	01/18/08	05/24/10			1,004.99	816.14	188.85
	30.0000	01/23/08	05/24/10			1,004.99	875.95	129.04
<b>Security Subtotal</b>						<b>2,579.46</b>	<b>2,181.94</b>	<b>397.52</b>
NEW YORK CMNTY BANCORP	64.0000	01/23/09	05/27/10			1,023.98	773.80	250.18
	20.0000	01/29/09	05/27/10			319.99	265.68	54.31
	47.0000	01/30/09	05/27/10			751.99	638.24	113.75
<b>Security Subtotal</b>						<b>2,095.96</b>	<b>1,677.72</b>	<b>418.24</b>
PHILIP MORRIS INTL INC	11.0000	01/14/09	04/05/10			579.26	455.48	123.78
PEPSICO INC	22.0000	03/15/07	04/05/10			1,456.81	1,382.26	74.55
SASOL LTD SPONSORED ADR	17.0000	11/10/08	04/05/10			729.63	470.07	259.56
XEROX CORP	93.0000	03/04/08	02/12/10			813.74	788.18	25.56



## 2010 TAX REPORTING STATEMENT

### 2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortization/Accretion Year-to-Date	Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
WASTE MANAGEMENT INC NEW	18.0000	01/24/08	04/05/10			624.05	547.18	76.87
	10.0000	02/01/08	04/05/10			346.69	329.52	17.17
	30.0000	02/04/08	04/05/10			1,040.09	997.89	42.20
<b>Security Subtotal</b>						<b>2,010.83</b>	<b>1,874.59</b>	<b>136.24</b>
<b>Long Term Capital Gains Subtotal</b>						<b>20,909.72</b>	<b>17,147.33</b>	<b>3,762.40</b>
<b>LONG TERM CAPITAL LOSSES</b>								
AGRIUM INC	4.0000	07/23/08	02/12/10			256.71	371.38	(114.67)
	6.0000	09/02/08	02/12/10			385.07	479.26	(94.19)
<b>Security Subtotal</b>						<b>641.78</b>	<b>850.64</b>	<b>(208.86)</b>
HALLIBURTON COMPANY	20.0000	01/11/08	04/05/10			635.18	720.21	(85.03)
	15.0000	01/14/08	04/05/10			476.39	547.70	(71.31)
	15.0000	01/22/08	04/05/10			476.39	479.06	(2.67)
<b>Security Subtotal</b>						<b>1,587.96</b>	<b>1,746.97</b>	<b>(159.01)</b>
PHILIP MORRIS INTL INC	6.0000	07/14/08	04/05/10			315.95	321.03	(5.08)
	20.0000	09/11/08	04/05/10			1,053.18	1,089.80	(36.62)
<b>Security Subtotal</b>						<b>1,369.13</b>	<b>1,410.83</b>	<b>(41.70)</b>
PEPSICO INC	10.0000	09/25/07	04/05/10			662.19	716.10	(53.91)
	5.0000	07/07/08	04/05/10			331.10	332.46	(1.36)
<b>Security Subtotal</b>						<b>993.29</b>	<b>1,048.56</b>	<b>(55.27)</b>
SASOL LTD SPONSORED ADR	10.0000	08/08/08	04/05/10			429.19	523.91	(94.72)
	12.0000	08/11/08	04/05/10			515.03	629.68	(114.65)
<b>Security Subtotal</b>						<b>944.22</b>	<b>1,153.59</b>	<b>(209.37)</b>
<b>Long Term Capital Losses Subtotal</b>						<b>5,536.38</b>	<b>6,210.59</b>	<b>(674.21)</b>
<b>NET LONG TERM CAPITAL GAIN (LOSS)</b>								<b>3,088.19</b>
<b>OTHER TRANSACTIONS</b>								
XEROX CORP		02/19/10	02/19/10			6.92	N/A	N/A
<b>Other Transactions Subtotal</b>						<b>6.92</b>		



## 2010 TAX REPORTING STATEMENT

### 2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortization/Accretion Year-to-Date	Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
<b>TOTAL CAPITAL GAINS AND LOSSES</b>						52,478.27	45,358.79	7,112.57
<b>TOTAL REPORTABLE GROSS PROCEEDS</b>						52,478.27		
<b>DIFFERENCE</b>						0.00		

Note: Capital gains and losses in this statement are not reported to the Internal Revenue Service.

\*\* Difference reflects items that are included in the reportable gross proceeds section of your statement but are not included in the gain/loss section (e.g., liquidation of fractional shares and the proceeds from certain tender offers). It also reflects items that are included in the gain/loss section of your statement but not in the reportable gross proceeds section (e.g., option premium received).

N/A Results which cannot be calculated because of insufficient data in the Capital Gain (or Loss) Column and are not included in the Realized Capital Gain and Loss summary.



## 2010 TAX REPORTING STATEMENT

### 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
ABBOTT LABS	44	02/16/10	Dividend	17.60	17.60	
	44	05/17/10	Dividend	19.36	19.36	
	44	08/16/10	Dividend	19.36	19.36	
			<b>Security Subtotal</b>	<b>56.32</b>	<b>56.32</b>	
ALLSTATE CORP DEL COM	56	01/05/10	Dividend	11.20	11.20	
	56	04/01/10	Dividend	11.20	11.20	
	56	07/01/10	Dividend	11.20	11.20	
	56	10/01/10	Dividend	11.20	11.20	
			<b>Security Subtotal</b>	<b>44.80</b>	<b>44.80</b>	
AGRIUM INC	20	01/14/10	Foreign Dividend	1.10	1.10	
		01/14/10	Foreign Tax	(0.17)	0.00	
			<b>Security Subtotal</b>	<b>0.93</b>	<b>1.10</b>	
ALTRIA GROUP INC	191	01/11/10	Dividend	64.94	64.94	
	191	04/09/10	Dividend	66.85	66.85	
	191	07/09/10	Dividend	66.85	66.85	
	191	10/12/10	Dividend	72.58	72.58	
			<b>Security Subtotal</b>	<b>271.22</b>	<b>271.22</b>	
AXA -SPONS ADR	60	05/24/10	Foreign Dividend	41.55	41.55	
		05/24/10	Foreign Tax	(6.23)	0.00	
			<b>Security Subtotal</b>	<b>35.32</b>	<b>41.55</b>	
AMEREN CORP	50	03/31/10	Dividend	19.25	19.25	
	50	06/30/10	Dividend	19.25	19.25	
	50	09/30/10	Dividend	19.25	19.25	
			<b>Security Subtotal</b>	<b>57.75</b>	<b>57.75</b>	
AT& T INC	74	02/01/10	Dividend	31.08	31.08	
	74	05/03/10	Dividend	31.08	31.08	
	74	08/02/10	Dividend	31.08	31.08	
			<b>Security Subtotal</b>	<b>93.24</b>	<b>93.24</b>	
BOEING COMPANY	76	03/05/10	Dividend	31.92	31.92	
CANADIAN PACIFIC RAILWAY LTD	13	01/25/10	Foreign Dividend	3.03	3.03	
		01/25/10	Foreign Tax	(0.45)	0.00	
	13	04/26/10	Foreign Dividend	3.20	3.20	
		04/26/10	Foreign Tax	(0.48)	0.00	
	13	07/26/10	Foreign Dividend	3.39	3.39	
		07/26/10	Foreign Tax	(0.51)	0.00	
			<b>Security Subtotal</b>	<b>8.18</b>	<b>9.62</b>	



**2010 TAX REPORTING STATEMENT**
**2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS**

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
COMPANHIA D SNMNT0 BSCO D ESTDO SAO PAULO ADR	68	07/07/10	Foreign Dividend	45.78	45.78	
		07/07/10	Foreign Tax	(6.87)	0.00	
			<b>Security Subtotal</b>	<b>38.91</b>	<b>45.78</b>	
CONOCOPHILLIPS	38	03/01/10	Dividend	19.00	19.00	
		06/01/10	Dividend	20.90	20.90	
		09/01/10	Dividend	20.90	20.90	
			<b>Security Subtotal</b>	<b>60.80</b>	<b>60.80</b>	
CENOVUS ENERGY INC	35	03/31/10	Foreign Dividend	6.88	6.88	
		03/31/10	Foreign Tax	(1.03)	0.00	
	35	07/01/10	Foreign Dividend	6.80	6.80	
		07/01/10	Foreign Tax	(1.02)	0.00	
	35	10/01/10	Foreign Dividend	6.81	6.81	
		10/01/10	Foreign Tax	(1.02)	0.00	
			<b>Security Subtotal</b>	<b>17.42</b>	<b>20.49</b>	
COCA COLA COM	38	04/01/10	Dividend	16.72	16.72	
		07/01/10	Dividend	16.72	16.72	
		10/01/10	Dividend	16.72	16.72	
			<b>Security Subtotal</b>	<b>50.16</b>	<b>50.16</b>	
DIAMOND OFFSHORE DRLNG	27	03/01/10	Dividend	3.38	3.38	
		03/01/10	Dividend	50.63	50.63	
	27	06/01/10	Dividend	3.38	3.38	
		06/01/10	Dividend	37.13	37.13	
	27	09/01/10	Dividend	3.38	3.38	
		09/01/10	Dividend	20.25	20.25	
			<b>Security Subtotal</b>	<b>118.15</b>	<b>118.15</b>	
DIAGEO PLC SPSD ADR NEW	9	04/12/10	Foreign Dividend	7.97	7.97	
		10/25/10	Foreign Dividend	13.31	13.31	
			<b>Security Subtotal</b>	<b>21.28</b>	<b>21.28</b>	
ENCANA CORP	35	03/31/10	Foreign Dividend	7.00	7.00	
		03/31/10	Foreign Tax	(1.05)	0.00	
	35	07/01/10	Foreign Dividend	7.00	7.00	
		07/01/10	Foreign Tax	(1.05)	0.00	
	35	09/30/10	Foreign Dividend	7.00	7.00	
		09/30/10	Foreign Tax	(1.05)	0.00	
			<b>Security Subtotal</b>	<b>17.85</b>	<b>21.00</b>	

## 2010 TAX REPORTING STATEMENT

### 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
FRANCE TELECOM ADR	36	07/08/10	Foreign Dividend	35.32	35.32	
		07/08/10	Foreign Tax	(5.30)	0.00	
	36	09/23/10	Foreign Dividend	27.59	27.59	
		09/23/10	Foreign Tax	(4.14)	0.00	
			<b>Security Subtotal</b>	<b>53.47</b>	<b>62.91</b>	
ISHARES MSCI AUSTRALIA INDEX FUND	300	06/29/10	Foreign Dividend	61.63	61.63	
	300	06/29/10	Foreign Tax	(0.68)	0.00	
			<b>Security Subtotal</b>	<b>60.95</b>	<b>61.63</b>	
ISHARES MSCI SPAIN INDEX FUND	50	06/29/10	Foreign Dividend	59.36	54.54	
	50	06/29/10	Foreign Tax	(7.49)	0.00	
			<b>Security Subtotal</b>	<b>51.87</b>	<b>54.54</b>	
ISHARES S&P 500 VALUE INDEX FUND	195	03/31/10	Dividend	49.17	49.17	
	195	06/29/10	Dividend	52.78	52.78	
			<b>Security Subtotal</b>	<b>101.95</b>	<b>101.95</b>	
ISHARES S&P GSSI NATURAL RESOURCES INDEX FUND	100	06/25/10	Dividend	17.90	17.90	
EATON VANCE TAX MAN GLB BUY WRT OPP FD	400	06/30/10	Dividend	17.69	17.69	
	400	09/30/10	Dividend	17.69	17.69	
			<b>Security Subtotal</b>	<b>35.38</b>	<b>35.38</b>	
ISHARES IBOXX \$ INVT GRADE CORP BD FUND	105	02/05/10	Dividend	47.46	0.00	
	105	03/05/10	Dividend	46.68	0.00	
	105	04/08/10	Dividend	49.21	0.00	
	105	05/07/10	Dividend	47.41	0.00	
	105	06/07/10	Dividend	46.55	0.00	
	105	07/08/10	Dividend	46.20	0.00	
	105	08/06/10	Dividend	45.93	0.00	
	105	09/08/10	Dividend	44.56	0.00	
			<b>Security Subtotal</b>	<b>374.00</b>	<b>0.00</b>	
ISHARES BARCLAYS AGGRGT AGGREGATE BD FUND	100	02/05/10	Dividend	32.71	0.00	
	100	03/05/10	Dividend	32.30	0.00	
	100	04/08/10	Dividend	20.09	0.00	
	100	04/08/10	Short Term Capital Gain	12.01	0.00	
	200	05/07/10	Dividend	40.33	0.00	
	200	05/07/10	Short Term Capital Gain	21.98	0.00	
	200	06/07/10	Dividend	40.32	0.00	
	200	06/07/10	Short Term Capital Gain	24.40	0.00	
	200	07/08/10	Dividend	39.22	0.00	





# 2010 TAX REPORTING STATEMENT

## 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
<b>ISHARES BARCLAYS AGGRGT</b>						
	200	07/08/10	Short Term Capital Gain	23.67	0.00	
	200	08/06/10	Dividend	39.31	0.00	
	200	08/06/10	Short Term Capital Gain	19.39	0.00	
	200	09/08/10	Dividend	39.20	0.00	
	200	09/08/10	Short Term Capital Gain	20.50	0.00	
			<b>Security Subtotal</b>	<b>405.43</b>	<b>0.00</b>	
<b>ISHARES BARCLAYS TIPS BO PROTECTED SECS FD</b>						
	120	02/05/10	Dividend	24.97	0.00	
	120	03/05/10	Dividend	0.53	0.00	
	120	04/08/10	Dividend	52.98	0.00	
	120	05/07/10	Dividend	19.60	0.00	
	120	06/07/10	Dividend	64.97	0.00	
	120	07/08/10	Dividend	33.67	0.00	
	120	08/06/10	Dividend	23.05	0.00	
	100	09/08/10	Dividend	3.01	0.00	
			<b>Security Subtotal</b>	<b>222.78</b>	<b>0.00</b>	
<b>VANGUARD SMALL CAP VALUE ETF</b>						
	100	03/29/10	Dividend	2.90	2.13	
<b>ISHARES FTSE XINHUA HK CHINA 25 INDEX FUND</b>						
	100	06/25/10	Foreign Dividend	52.94	52.94	
	100	06/25/10	Foreign Tax	(7.06)	0.00	
			<b>Security Subtotal</b>	<b>45.88</b>	<b>52.94</b>	
<b>POWERSHARES WATER RESOURCES PORTFOLIO</b>						
	150	06/30/10	Dividend	3.82	3.82	
<b>POWERSHARES GLOBAL EXCHANGE TRADED FD TR</b>						
	215	01/29/10	Dividend	0.50	0.00	
	215	02/26/10	Dividend	0.50	0.00	
	215	03/31/10	Dividend	0.51	0.00	
	215	04/30/10	Dividend	0.50	0.00	
	515	05/28/10	Dividend	1.20	0.00	
	515	06/30/10	Dividend	1.18	0.00	
	515	07/30/10	Dividend	1.16	0.00	
	515	08/31/10	Dividend	1.15	0.00	
	515	09/30/10	Dividend	1.15	0.00	
			<b>Security Subtotal</b>	<b>7.85</b>	<b>0.00</b>	

# 2010 TAX REPORTING STATEMENT

## 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
VANGUARD TOTAL BOND MKT	150	02/05/10	Dividend	37.27	0.00	
	150	03/05/10	Dividend	35.03	0.00	
	150	04/08/10	Dividend	36.69	0.00	
	150	05/07/10	Dividend	35.48	0.00	
	150	06/07/10	Dividend	36.62	0.00	
	150	07/08/10	Dividend	34.42	0.00	
	150	08/06/10	Dividend	34.87	0.00	
	150	09/08/10	Dividend	33.90	0.00	
			<b>Security Subtotal</b>	<b>284.28</b>	<b>0.00</b>	
ISHARES IBOXX\$ HIGH YEL CORPORATE BOND FUND	115	02/05/10	Dividend	76.22	0.00	
	115	03/05/10	Dividend	74.33	0.00	
	115	04/08/10	Dividend	75.64	0.00	
	115	05/07/10	Dividend	73.64	0.00	
	115	06/07/10	Dividend	73.91	0.00	
	115	07/08/10	Dividend	71.68	0.00	
	115	08/06/10	Dividend	68.89	0.00	
	140	09/08/10	Dividend	87.53	0.00	
			<b>Security Subtotal</b>	<b>601.84</b>	<b>0.00</b>	
FIRST TR ISE REVERE NAT GAS INDEX FD	200	06/30/10	Dividend	8.92	8.92	
ISHARES S&P NATIONAL AMT-FREE MUNICIPAL BOND	98	02/05/10	Dividend	0.47	0.00	
	98	03/05/10	Dividend	0.48	0.00	
	98	04/08/10	Dividend	0.48	0.00	
	98	05/07/10	Dividend	0.48	0.00	
	98	06/07/10	Dividend	0.45	0.00	
	98	07/08/10	Dividend	0.46	0.00	
	98	08/06/10	Dividend	0.47	0.00	
	98	09/08/10	Dividend	0.47	0.00	
			<b>Security Subtotal</b>	<b>3.76</b>	<b>0.00</b>	
VANGUARD MEGA CAP 300 VALUE	150	03/31/10	Dividend	30.00	30.00	
	150	06/30/10	Dividend	31.20	31.20	
			<b>Security Subtotal</b>	<b>61.20</b>	<b>61.20</b>	
REVENUESHARES MID CAP ET	260	04/09/10	Dividend	9.94	9.94	
	260	07/09/10	Dividend	9.16	9.16	
			<b>Security Subtotal</b>	<b>19.10</b>	<b>19.10</b>	
REVENUESHARES SMALL CAP	240	04/09/10	Dividend	1.36	1.36	
	240	07/09/10	Dividend	4.84	4.84	
			<b>Security Subtotal</b>	<b>6.20</b>	<b>6.20</b>	



## 2010 TAX REPORTING STATEMENT

### 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
REVENUESHARES LARGE CAP	330	04/09/10	Dividend	22.93	22.93	
	330	07/09/10	Dividend	23.10	23.10	
			<b>Security Subtotal</b>	<b>46.03</b>	<b>46.03</b>	
GLAXOSMITHKLINE PLC ADR	128	01/07/10	Foreign Dividend	62.72	62.72	
	128	04/08/10	Foreign Dividend	73.43	73.43	
	128	07/08/10	Foreign Dividend	58.92	58.92	
	128	10/07/10	Foreign Dividend	58.53	58.53	
			<b>Security Subtotal</b>	<b>253.60</b>	<b>253.60</b>	
HALLIBURTON COMPANY HUDSON CITY BANCORP INC	92	03/23/10	Dividend	8.28	8.28	
	56	03/02/10	Dividend	8.40	8.40	
	56	05/28/10	Dividend	8.40	8.40	
	56	08/27/10	Dividend	8.40	8.40	
			<b>Security Subtotal</b>	<b>25.20</b>	<b>25.20</b>	
HEINZ H J CO PV 25CT	22	01/11/10	Dividend	9.24	9.24	
	22	04/12/10	Dividend	9.24	9.24	
	22	07/12/10	Dividend	9.90	9.90	
	22	10/11/10	Dividend	9.90	9.90	
			<b>Security Subtotal</b>	<b>38.28</b>	<b>38.28</b>	
HOME DEPOT INC ISHARES TR DOW JONES US TECHNOLOGY SECTOR INDX F	77	03/25/10	Dividend	18.19	18.19	
	100	03/31/10	Dividend	5.98	5.98	
	100	06/30/10	Dividend	7.53	7.53	
			<b>Security Subtotal</b>	<b>13.51</b>	<b>13.51</b>	
ISHARES D JONES US BASIC MATERIALS SECTOR INDEX F	145	03/31/10	Dividend	15.18	15.18	
	145	06/30/10	Dividend	31.61	31.61	
			<b>Security Subtotal</b>	<b>46.79</b>	<b>46.79</b>	
ISHARES S&P MIDCAP 400/ BARRA VALUE INDEX FUND	160	03/31/10	Dividend	40.77	36.32	
	160	06/29/10	Dividend	42.51	37.87	
			<b>Security Subtotal</b>	<b>83.28</b>	<b>74.19</b>	
ISHARES S&P SMALLCAP 600 VALUE INDEX FUND	185	03/31/10	Dividend	23.81	21.38	
	185	06/29/10	Dividend	30.22	27.14	
			<b>Security Subtotal</b>	<b>54.03</b>	<b>48.52</b>	
KRAFT FOODS INC VA CL A	63	01/13/10	Dividend	18.27	18.27	
	63	04/14/10	Dividend	18.27	18.27	
	63	07/14/10	Dividend	18.27	18.27	
			<b>Security Subtotal</b>	<b>54.81</b>	<b>54.81</b>	

## 2010 TAX REPORTING STATEMENT

### 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
KIMBERLY CLARK	29	01/05/10	Dividend	17.40	17.40	
	29	04/05/10	Dividend	19.14	19.14	
	29	07/02/10	Dividend	19.14	19.14	
	29	10/04/10	Dividend	19.14	19.14	
			<b>Security Subtotal</b>	<b>74.82</b>	<b>74.82</b>	
LOCKHEED MARTIN CORP	25	03/26/10	Dividend	15.75	15.75	
	25	06/25/10	Dividend	15.75	15.75	
	25	09/24/10	Dividend	15.75	15.75	
			<b>Security Subtotal</b>	<b>47.25</b>	<b>47.25</b>	
MARATHON OIL CORP	62	03/10/10	Dividend	14.88	14.88	
	62	06/10/10	Dividend	15.50	15.50	
	62	09/10/10	Dividend	15.50	15.50	
			<b>Security Subtotal</b>	<b>45.88</b>	<b>45.88</b>	
MICROSOFT CORP	240	03/11/10	Dividend	31.20	31.20	
	240	06/10/10	Dividend	31.20	31.20	
	240	09/09/10	Dividend	31.20	31.20	
			<b>Security Subtotal</b>	<b>93.60</b>	<b>93.60</b>	
MITSUI CO ADR	6	07/01/10	Foreign Dividend	14.69	14.69	
		07/01/10	Foreign Tax	(1.03)	0.00	
			<b>Security Subtotal</b>	<b>13.66</b>	<b>14.69</b>	
NEW YORK CMNTY BANCORP	131	02/17/10	Dividend	32.75	32.75	
	131	05/18/10	Dividend	32.75	32.75	
			<b>Security Subtotal</b>	<b>65.50</b>	<b>65.50</b>	
NOKIA CORP SPON ADR	18	05/28/10	Foreign Dividend	8.78	8.78	
		05/28/10	Foreign Tax	(1.32)	0.00	
			<b>Security Subtotal</b>	<b>7.46</b>	<b>8.78</b>	
PHILIP MORRIS INTL INC	37	01/11/10	Dividend	21.46	21.46	
	37	04/09/10	Dividend	21.46	21.46	
			<b>Security Subtotal</b>	<b>42.92</b>	<b>42.92</b>	
PEPSICO INC	37	01/04/10	Dividend	16.65	16.65	
	37	03/31/10	Dividend	16.65	16.65	
			<b>Security Subtotal</b>	<b>33.30</b>	<b>33.30</b>	



## 2010 TAX REPORTING STATEMENT

### 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
PFIZER INC	205	03/02/10	Dividend	36.90	36.90	
	205	06/01/10	Dividend	36.90	36.90	
	205	09/01/10	Dividend	36.90	36.90	
			<b>Security Subtotal</b>	<b>110.70</b>	<b>110.70</b>	
QUALCOMM INC	35	03/26/10	Dividend	5.95	5.95	
	35	06/25/10	Dividend	6.65	6.65	
	35	09/24/10	Dividend	6.65	6.65	
			<b>Security Subtotal</b>	<b>19.25</b>	<b>19.25</b>	
REYNOLDS AMERICAN INC	36	01/04/10	Dividend	32.40	32.40	
	36	04/01/10	Dividend	32.40	32.40	
	36	07/01/10	Dividend	32.40	32.40	
	36	10/01/10	Dividend	32.40	32.40	
			<b>Security Subtotal</b>	<b>129.60</b>	<b>129.60</b>	
ROYAL DUTCH SHELL PLC SPONS ADR A	57	03/17/10	Foreign Dividend	47.88	47.88	
		03/17/10	Foreign Tax	(7.18)	0.00	
	57	06/09/10	Foreign Dividend	47.88	47.88	
		06/09/10	Foreign Tax	(7.18)	0.00	
	57	09/08/10	Foreign Dividend	47.88	47.88	
		09/08/10	Foreign Tax	(7.18)	0.00	
			<b>Security Subtotal</b>	<b>122.10</b>	<b>143.64</b>	
SK TELECOM ADR	39	04/13/10	Foreign Dividend	32.39	32.39	
		04/13/10	Foreign Tax	(5.34)	0.00	
	39	08/17/10	Foreign Dividend	3.71	3.71	
		08/17/10	Foreign Tax	(0.61)	0.00	
			<b>Security Subtotal</b>	<b>30.15</b>	<b>36.10</b>	
SECTOR SPDR CONSMRS STPL	90	03/31/10	Dividend	10.64	10.64	
	90	06/30/10	Dividend	17.29	17.29	
	90	09/29/10	Dividend	17.77	17.77	
			<b>Security Subtotal</b>	<b>45.70</b>	<b>45.70</b>	
SECTOR SPDR ENERGY	100	03/31/10	Dividend	20.33	20.33	
	100	06/30/10	Dividend	25.16	25.16	
	100	09/29/10	Dividend	24.92	24.92	
			<b>Security Subtotal</b>	<b>70.41</b>	<b>70.41</b>	
STATOIL ASA SHS	48	06/14/10	Foreign Dividend	44.20	44.20	TRANSACTION CHANGED
		06/14/10	Foreign Tax	(6.63)	0.00	
			<b>Security Subtotal</b>	<b>37.57</b>	<b>44.20</b>	

# 2010 TAX REPORTING STATEMENT

## 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
STAPLES INC	90	01/14/10	Dividend	7.43	7.43	
	90	04/15/10	Dividend	8.10	8.10	
	90	07/15/10	Dividend	8.10	8.10	
			<b>Security Subtotal</b>	<b>23.63</b>	<b>23.63</b>	
SUPERVALU INC DEL COM	80	03/15/10	Dividend	7.00	7.00	
	80	06/15/10	Dividend	7.00	7.00	
	80	09/15/10	Dividend	7.00	7.00	
			<b>Security Subtotal</b>	<b>21.00</b>	<b>21.00</b>	
TOTAL S.A. SP ADR	30	06/22/10	Foreign Dividend	41.65	41.65	
		06/22/10	Foreign Tax	(6.25)	0.00	
			<b>Security Subtotal</b>	<b>35.40</b>	<b>41.65</b>	
TRANSCANADA CORP	21	01/29/10	Foreign Dividend	7.46	7.46	
		01/29/10	Foreign Tax	(1.12)	0.00	
	21	04/30/10	Foreign Dividend	8.26	8.26	
		04/30/10	Foreign Tax	(1.24)	0.00	
	21	07/30/10	Foreign Dividend	8.11	8.11	
		07/30/10	Foreign Tax	(1.22)	0.00	
			<b>Security Subtotal</b>	<b>20.25</b>	<b>23.83</b>	
UNILEVER PLC NEW ADR	30	03/17/10	Foreign Dividend	8.15	8.15	
	30	06/16/10	Foreign Dividend	8.29	8.29	
	30	09/15/10	Foreign Dividend	8.25	8.25	
			<b>Security Subtotal</b>	<b>24.69</b>	<b>24.69</b>	
VALERO ENERGY CORP NEW	72	03/17/10	Dividend	3.60	3.60	
	72	06/16/10	Dividend	3.60	3.60	
	72	09/15/10	Dividend	3.60	3.60	
			<b>Security Subtotal</b>	<b>10.80</b>	<b>10.80</b>	
WINDSTREAM CORP	241	01/15/10	Dividend	60.25	60.25	
	241	04/15/10	Dividend	60.25	60.25	
	241	07/15/10	Dividend	60.25	60.25	
			<b>Security Subtotal</b>	<b>180.75</b>	<b>180.75</b>	
WAL-MART STORES INC	44	01/04/10	Dividend	11.99	11.99	
	44	04/05/10	Dividend	13.31	13.31	
	44	06/01/10	Dividend	13.31	13.31	
	44	09/07/10	Dividend	13.31	13.31	
			<b>Security Subtotal</b>	<b>51.92</b>	<b>51.92</b>	
WASTE MANAGEMENT INC NEW	58	03/19/10	Dividend	18.27	18.27	



## 2010 TAX REPORTING STATEMENT

### 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
<b>TOTAL DIVIDEND ACTIVITY</b>				<b>5,312.31</b>		
<b>TOTAL ORDINARY DIVIDENDS (LINE 1A 1099-DIV)</b>				<b>5,404.21</b>		
<b>TOTAL QUALIFIED DIVIDENDS (LINE 1B 1099-DIV)</b>					<b>3,484.08</b>	
<b>TOTAL FEDERAL INCOME TAX WITHHELD (INCLUDED IN LINE 4 1099-DIV)</b>				<b>0.00</b>		
<b>TOTAL FOREIGN TAX PAID (INCLUDED IN LINE 6 1099-DIV)</b>				<b>(91.90)</b>		

**2010 TAX REPORTING STATEMENT**
**2010 DIVIDENDS AND DISTRIBUTIONS**

Security Description	Quantity	Date	Transaction Description	Amount	Remarks
<b><u>LONG-TERM CAPITAL GAINS DISTRIBUTIONS</u></b>					
EATON VANCE TAX MAN GLB	400	06/30/10	Long Term Capital Gain	2.04	
BUY WRT OPP FD	400	09/30/10	Long Term Capital Gain	2.04	
			<b>Security Subtotal</b>	<b>4.08</b>	
<b>TOTAL LONG-TERM CAPITAL GAINS DISTRIBUTIONS</b>				<b>4.08</b>	
<b>TOTAL CAPITAL GAIN DISTRIBUTIONS (LINE 2A 1099-DIV)</b>				<b>4.08</b>	
<b><u>NONDIVIDEND DISTRIBUTIONS</u></b>					
EATON VANCE TAX MAN GLB	400	06/30/10	Prin Payment	136.27	
BUY WRT OPP FD	400	09/30/10	Prin Payment	136.27	
			<b>Security Subtotal</b>	<b>272.54</b>	
<b>TOTAL NONDIVIDEND DISTRIBUTIONS (LINE 3 1099-DIV)</b>				<b>272.54</b>	
<b>TOTAL FEDERAL INCOME TAX WITHHELD (INCLUDED IN LINE 4 1099-DIV)</b>				<b>0.00</b>	
<b>TOTAL FOREIGN TAX PAID (INCLUDED IN LINE 6 1099-DIV)</b>				<b>0.00</b>	





**2010 TAX REPORTING STATEMENT****2010 INTEREST INCOME**

Security Description	Quantity	Date	Transaction Description	Amount	Remarks
<b><u>INTEREST</u></b>					
ML BANK DEPOSIT PROGRAM		01/29/10	Bank Interest	3.57	
		02/26/10	Bank Interest	3.47	
		03/31/10	Bank Interest	2.51	
		04/30/10	Bank Interest	1.49	
		05/28/10	Bank Interest	0.46	
		06/30/10	Bank Interest	4.72	
		07/30/10	Bank Interest	4.97	
		08/31/10	Bank Interest	5.38	
		09/30/10	Bank Interest	4.14	
<b><i>Security Subtotal</i></b>				<b>30.71</b>	
<b>TOTAL INTEREST ACTIVITY</b>				<b>30.71</b>	
<b>TOTAL INTEREST (LINE 1 1099-INT)</b>				<b>30.71</b>	
<b>TOTAL FEDERAL INCOME TAX WITHHELD (INCLUDED IN LINE 4 1099-INT)</b>				<b>0.00</b>	

## 2010 TAX REPORTING STATEMENT

### 2010 REPORTABLE TAX EXEMPT INCOME

Security Description	Cusip	Quantity	Date	Transaction Description	Total Amount	AMT Amount	Remarks
<b>TAX EXEMPT DIVIDENDS</b>							
POWERSHARES GLOBAL EXCHANGE TRADED FD TR		215	01/29/10	Dividend	18.89	0.00	
		215	02/26/10	Dividend	18.82	0.00	
		215	03/31/10	Dividend	19.33	0.00	
		215	04/30/10	Dividend	18.97	0.00	
		515	05/28/10	Dividend	45.18	0.00	
		515	06/30/10	Dividend	44.71	0.00	
		515	07/30/10	Dividend	43.90	0.00	
		515	08/31/10	Dividend	43.39	0.00	
		515	09/30/10	Dividend	43.24	0.00	
<b>Security Subtotal</b>					<b>296.43</b>	<b>0.00</b>	
ISHARES S&P NATIONAL AMT-FREE MUNICIPAL BOND		98	02/05/10	Dividend	30.71	0.00	
		98	03/05/10	Dividend	31.15	0.00	
		98	04/08/10	Dividend	31.64	0.00	
		98	05/07/10	Dividend	31.11	0.00	
		98	06/07/10	Dividend	29.65	0.00	
		98	07/08/10	Dividend	30.38	0.00	
		98	08/06/10	Dividend	30.43	0.00	
		98	09/08/10	Dividend	30.98	0.00	
<b>Security Subtotal</b>					<b>246.05</b>	<b>0.00</b>	
<b>TOTAL TAX EXEMPT DIVIDENDS</b>					<b>542.48</b>	<b>0.00</b>	
<b>TOTAL FEDERAL INCOME TAX WITHHELD (INCLUDED IN LINE 4 1099-INT)</b>					<b>0.00</b>		
<b>TOTAL TAX EXEMPT INTEREST (LINE 8 1099-INT)</b>					<b>542.48</b>		
<b>TOTAL SPECIFIED PRIVATE ACTIVITY BOND INTEREST (LINE 9 1099-INT)</b>						<b>0.00</b>	



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Payer:  
 Merrill Lynch, Pierce, Fenner & Smith Inc  
 1800 Merrill Lynch Drive, MSC 0803  
 Pennington, NJ 08534-4129  
 Federal Identification Number 13-5674085

\* Account Closed as of  
 12/31/10

## 2010 TAX REPORTING STATEMENT

1099-DIV	2010 Dividends and Distributions	(OMB NO. 1545-0110)
		Amount
1a	Total Ordinary Dividends.....	1,942.48
1b	Qualified Dividends.....	1,012.69
2a	Total Capital Gain Distributions.....	370.65
2b	Unrecap. Sec. 1250 Gain.....	0.00
2c	Section 1202 Gain.....	0.00
2d	Collectibles (28%) Gain.....	0.00
3	Nondividend Distributions.....	1,033.97
4	Federal Income Tax Withheld.....	0.00
5	Investment Expenses.....	0.00
6	Foreign Tax Paid.....	2.03
7	Foreign Country or U.S. Possession.....	Various
8	Liquidation Distributions Cash.....	0.00
9	Liquidation Distributions Non-Cash (Fair Market Value)....	0.00

1099-INT	2010 Interest Income	(OMB NO. 1545-0112)
		Amount
1	Interest Income.....	28.27
2	Early Withdrawal Penalty.....	0.00
3	Interest On U.S. Savings Bonds and Treasury Obligations.....	3,031.07
4	Federal Income Tax Withheld.....	0.00
5	Investment Expenses.....	0.00
6	Foreign Tax Paid.....	0.00
7	Foreign Country or U.S. Possession.....	
8	Tax Exempt Interest.....	5,651.27
9	Specified Private Activity Bond Interest.....	476.72
10	Tax Exempt Bond Cusip Number.....	Various

Summary of 2010 Original Issue Discount Items	
	Amount
1 Original Issue Discount.....	0.00
6 Original Issue Discount on U.S. Treasury Obligations.....	257.64

Amounts of Original Issue Discount are individually reported to the Internal Revenue Service. Refer to the 2010 Original Issue Discount detail section of this statement.

Summary of 2010 Proceeds from Broker & Barter Exchange Transactions	
	Amount
2 Gross Proceeds Less Commissions.....	87,637.32
4 Federal Income Tax Withheld.....	0.00

Gross Proceeds from each of your 2010 securities trades are individually reported to the Internal Revenue Service. Refer to the 2010 Gross Proceeds detail section of this statement.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

You may reach a Tax Representative at 1-800-637-6326.

**2010 TAX REPORTING STATEMENT**
**1099-OID**
**2010 ORIGINAL ISSUE DISCOUNT**

(OMB NO. 1545-0117)

Security Description	Cusip Number	Quantity	Position From	Held To	Issue Date	Maturity Date	Amount*	Remarks
<b><u>ORIGINAL ISSUE DISCOUNT ON U.S. TREASURY OBLIGATIONS</u></b>								
J.S. TRSY INFLATION NOTE 0.875% APR 15 2010	912828CZ1	23000	01/01/10	04/15/10	10/15/04	04/15/10	64.97	
J.S. TRSY INFLATION NOTE 3.00% JUL 15 2012	912828AF7	19000	01/01/10	09/24/10	07/15/02	07/15/12	192.67	
<b>TOTAL OID ON U.S. TREASURY OBLIGATIONS (LINE 6 1099-OID)</b>							<b>257.64</b>	
<b>TOTAL ORIGINAL ISSUE DISCOUNT (SUM OF 1 &amp; 6 1099-OID)</b>							<b>257.64</b>	

\* Amounts of OID are individually reported by security position to the Internal Revenue Service. These amounts may not always be the correct amounts to report on your income tax return.

**IMPORTANT TAX INFORMATION**

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

## 2010 TAX REPORTING STATEMENT

Your Tax Reporting Statement information that follows is a personal summary of your account activity and is not reported to the IRS.

The Capital Gain and Loss Transaction section is provided to facilitate your review and the preparation of your tax return. In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that an election was in effect to amortize the premium paid on the purchase of taxable bonds. The gain (loss) information may not include return of capital, sales load deferral or wash sales adjustments. RICs (which may include mutual funds and unit investment trusts) may reclassify principal distributions as capital gains. The Cost Basis for these securities may not have been adjusted on your statement to reflect such reclassifications. Please refer to information provided by the RIC and discuss with your tax advisor. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount (OID) obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

Data from Forms 1099 (reportable Dividend and Interest) is also repeated in this summary for your convenience. Additionally, we have included items such as margin interest and select account fees if applicable. Please discuss the deductibility of these items with your tax advisor. For select clients, we have also included a summary of Visa charges and checking activity.

Merrill Lynch is neither a tax return preparer nor tax advisor. Please see your tax advisor for more information.

### 2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortization/Accretion Year-to-Date	Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
<b>LONG TERM CAPITAL GAINS</b>								
U.S. TRSY INFLATION NOTE	23000.0000*	01/16/07	04/15/10	65.02 (A)	1,829.26 (A)	26,310.39	25,021.38 (C)	1,289.01
Long Term Capital Gains Subtotal						26,310.39	25,021.38	1,289.01
<b>LONG TERM CAPITAL LOSSES</b>								
WISDOMTREE INTL COMM	195.0000	05/16/07	03/30/10			4,393.35	6,108.15	(1,714.80)
WISDOMTREE INTL IND SEC	180.0000	05/16/07	03/30/10			3,995.31	6,160.95	(2,165.64)
ROCHESTER MUNI FD CL B	1.8190	02/23/05	03/15/10			29.13	32.59	(3.46)
	13.0000	03/23/05	03/15/10			208.08	230.76	(22.68)
	12.0000	04/27/05	03/15/10			192.07	215.88	(23.81)
	13.0000	05/25/05	03/15/10			208.08	236.74	(28.66)
	13.0000	06/22/05	03/15/10			208.08	237.25	(29.17)
	11.0000	07/27/05	03/15/10			176.07	202.07	(26.00)
	11.0000	08/24/05	03/15/10			176.07	202.51	(26.44)
	11.0000	09/28/05	03/15/10			176.07	200.75	(24.68)
	12.0000	10/26/05	03/15/10			192.07	217.80	(25.73)
	12.0000	11/23/05	03/15/10			192.08	216.83	(24.75)
	11.0000	12/30/05	03/15/10			176.07	200.76	(24.69)
	12.0000	01/25/06	03/15/10			192.08	219.84	(27.76)
	27.0000	02/22/06	03/15/10			432.20	484.91	(52.71)
Security Subtotal						2,558.15	2,898.69	(340.54)

# 2010 TAX REPORTING STATEMENT

## 2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortization/Accretion Year-to-Date	Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
ROCHESTER MUNS FD CL A	2876.9420	06/10/03	03/15/10			46,170.00	50,001.06	(3,831.06)
	4.0000	06/25/03	03/15/10			64.19	69.12	(4.93)
	13.0000	07/23/03	03/15/10			208.62	219.83	(11.21)
	13.0000	08/27/03	03/15/10			208.62	216.71	(8.09)
	13.0000	09/24/03	03/15/10			208.62	221.26	(12.64)
	13.0000	10/29/03	03/15/10			208.62	225.43	(16.81)
	13.0000	11/28/03	03/15/10			208.63	227.50	(18.87)
	12.0000	12/31/03	03/15/10			192.58	211.20	(18.62)
	13.0000	01/28/04	03/15/10			208.63	231.15	(22.52)
	13.0000	02/25/04	03/15/10			208.63	232.96	(24.33)
	13.0000	03/24/04	03/15/10			208.63	233.22	(24.59)
	13.0000	04/28/04	03/15/10			208.63	224.77	(16.14)
	14.0000	05/26/04	03/15/10			224.67	237.30	(12.63)
	14.0000	06/23/04	03/15/10			224.68	237.29	(12.61)
	13.0000	07/28/04	03/15/10			208.63	223.09	(14.46)
	13.0000	08/25/04	03/15/10			208.63	225.94	(17.31)
	13.0000	09/22/04	03/15/10			208.63	227.90	(19.27)
	13.0000	10/27/04	03/15/10			208.63	229.71	(21.08)
	13.0000	11/24/04	03/15/10			208.63	229.05	(20.42)
	12.0000	12/31/04	03/15/10			192.58	212.65	(20.07)
	13.0000	01/26/05	03/15/10			208.63	231.92	(23.29)
	11.0000	02/23/05	03/15/10			176.56	197.12	(20.56)
<b>Security Subtotal</b>						<b>50,374.67</b>	<b>54,566.18</b>	<b>(4,191.51)</b>
<b>Long Term Capital Losses Subtotal</b>						<b>61,321.48</b>	<b>69,733.97</b>	<b>(8,412.49)</b>
<b>NET LONG TERM CAPITAL GAIN (LOSS)</b>								<b>(7,123.48)</b>

## OTHER TRANSACTIONS

JOHN & STEERS SELECT	03/26/10	03/26/10				5.45	N/A	N/A
<b>Other Transactions Subtotal</b>						<b>5.45</b>		

<b>TOTAL CAPITAL GAINS AND LOSSES</b>						<b>87,637.32</b>	<b>94,755.35</b>	<b>(7,123.48)</b>
<b>TOTAL REPORTABLE GROSS PROCEEDS</b>						<b>87,637.32</b>		
<b>DIFFERENCE</b>						<b>0.00 **</b>		



## 2010 TAX REPORTING STATEMENT

### 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
NUVEEN EQTY PREM OPP	500	04/01/10	Dividend	23.21	23.21	
	500	07/01/10	Dividend	23.21	23.21	
	500	10/01/10	Dividend	21.76	21.76	
			<b>Security Subtotal</b>	<b>68.18</b>	<b>68.18</b>	
BUILDERS ASIA 50 ADR INDEX	140	07/30/10	Dividend	37.62	37.62	
	140	10/29/10	Dividend	35.35	35.35	
			<b>Security Subtotal</b>	<b>72.97</b>	<b>72.97</b>	
PIMCO CORPORATE OPPTY FD	500	02/01/10	Dividend	57.50	1.64	
	500	03/01/10	Dividend	57.50	1.64	
	500	03/30/10	Dividend	57.50	1.64	
	500	05/03/10	Dividend	57.50	1.64	
	500	06/01/10	Dividend	57.50	1.64	
	500	06/29/10	Dividend	57.50	1.64	
	500	08/02/10	Dividend	57.50	1.64	
	500	09/01/10	Dividend	57.50	1.64	
	500	09/29/10	Dividend	57.50	1.64	
			<b>Security Subtotal</b>	<b>517.50</b>	<b>14.76</b>	
EATON VANCE TAX MAN GLB BUY WRT OPP FD	500	03/31/10	Dividend	22.11	22.11	
	500	06/30/10	Dividend	22.11	22.11	
	500	09/30/10	Dividend	22.11	22.11	
			<b>Security Subtotal</b>	<b>66.33</b>	<b>66.33</b>	
J HANCOCK PREF INCOME 3 INCOME FUND III	500	01/29/10	Dividend	46.55	23.92	
	500	02/26/10	Dividend	46.55	23.92	
	500	03/31/10	Dividend	46.55	23.92	
	500	04/30/10	Dividend	46.55	23.92	
	500	05/28/10	Dividend	46.55	23.92	
	500	06/30/10	Dividend	46.55	23.92	
	500	07/30/10	Dividend	46.55	23.92	
	500	08/31/10	Dividend	56.10	28.82	
	500	09/30/10	Dividend	56.10	28.82	
			<b>Security Subtotal</b>	<b>438.05</b>	<b>225.08</b>	

# 2010 TAX REPORTING STATEMENT

## 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
LEUBERGER RE SEC INC	422	01/29/10	Dividend	5.02	0.00	
ESTATE SECS INCOME FD	422	02/26/10	Dividend	5.02	0.00	
	422	03/31/10	Dividend	5.02	0.00	
	422	04/30/10	Dividend	5.02	0.00	
	422	05/28/10	Dividend	5.02	0.00	
	422	06/30/10	Dividend	5.02	0.00	
	422	07/30/10	Dividend	5.02	0.00	
	422	08/31/10	Dividend	5.02	0.00	
	422	09/30/10	Dividend	5.02	0.00	
			<b>Security Subtotal</b>	<b>45.18</b>	<b>0.00</b>	
COHEN & STEERS REIT & UTILITIES INC FD	300	03/11/10	Dividend	51.00	18.26	
COHEN & STEERS SELECT INFRASTRUCTURE FUND INC	220	06/30/10	Dividend	52.80	41.80	
HFJ DIV INT PREM STRAT AND PREMIUM STRATEGY FD	500	03/30/10	Dividend	75.00	52.12	
	500	06/29/10	Dividend	75.00	52.12	
	500	09/29/10	Dividend	75.00	52.12	
			<b>Security Subtotal</b>	<b>225.00</b>	<b>156.36</b>	
POWERSHARES GLOBAL EXCHANGE TRADED FD TR	80	01/29/10	Dividend	0.19	0.00	
	80	02/26/10	Dividend	0.19	0.00	
	80	03/31/10	Dividend	0.19	0.00	
	80	04/30/10	Dividend	0.19	0.00	
	80	05/28/10	Dividend	0.19	0.00	
	80	06/30/10	Dividend	0.18	0.00	
	80	07/30/10	Dividend	0.18	0.00	
	80	08/31/10	Dividend	0.18	0.00	
	80	09/30/10	Dividend	0.18	0.00	
			<b>Security Subtotal</b>	<b>1.67</b>	<b>0.00</b>	
WISDOMTREE TR INTL BASIC MATERIALS SECTO	175	04/05/10	Dividend	14.36	12.08	
	175	07/02/10	Dividend	53.86	45.30	
	175	09/24/10	Dividend	21.91	18.43	
			<b>Security Subtotal</b>	<b>90.13</b>	<b>75.81</b>	
ING GROEP NV	237	01/15/10	Foreign Dividend	90.73	90.73	
ING PERPETUAL DEBT SEC 6.125%	237	04/15/10	Foreign Dividend	90.73	90.73	
	237	07/15/10	Foreign Dividend	90.73	90.73	
			<b>Security Subtotal</b>	<b>272.19</b>	<b>272.19</b>	





## 2010 TAX REPORTING STATEMENT

### 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
ISHARES MSCI BRAZIL FREE INDEX FUND	105	06/29/10	Foreign Dividend	30.95	0.95	
	105	06/29/10	Foreign Tax	(2.03)	0.00	
			<b>Security Subtotal</b>	<b>28.92</b>	<b>0.95</b>	
ROCHESTER MUNICIPAL FDS CL B		01/27/10	Dividend	0.16	0.00	
		02/24/10	Dividend	0.16	0.00	
		03/24/10	Dividend	0.12	0.00	
			<b>Security Subtotal</b>	<b>0.44</b>	<b>0.00</b>	
ROCHESTER MUNICIPALS FD CL A		01/27/10	Dividend	3.62	0.00	
		02/24/10	Dividend	3.62	0.00	
		03/24/10	Dividend	2.85	0.00	
			<b>Security Subtotal</b>	<b>10.09</b>	<b>0.00</b>	
<b>TOTAL DIVIDEND ACTIVITY</b>				<b>1,940.45</b>		
<b>TOTAL ORDINARY DIVIDENDS (LINE 1A 1099-DIV)</b>				<b>1,942.48</b>		
<b>TOTAL QUALIFIED DIVIDENDS (LINE 1B 1099-DIV)</b>					<b>1,012.69</b>	
<b>TOTAL FEDERAL INCOME TAX WITHHELD (INCLUDED IN LINE 4 1099-DIV)</b>				<b>0.00</b>		
<b>TOTAL FOREIGN TAX PAID (INCLUDED IN LINE 6 1099-DIV)</b>				<b>(2.03)</b>		

## 2010 TAX REPORTING STATEMENT

### 2010 DIVIDENDS AND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Remarks
<b><u>LONG-TERM CAPITAL GAINS DISTRIBUTIONS</u></b>					
SOURCE CAP INC	200	03/15/10	Long Term Capital Gain	120.00	
	200	06/15/10	Long Term Capital Gain	120.00	
	200	09/15/10	Long Term Capital Gain	120.00	
			<b>Security Subtotal</b>	<b>360.00</b>	
BLDRS EMER MKTS 50 ADR	140	01/06/10	Long Term Capital Gain	3.00	
INDEX					
EATON VANCE TAX MAN GLB	500	03/31/10	Long Term Capital Gain	2.55	
BUY WRT OPP FD	500	06/30/10	Long Term Capital Gain	2.55	
	500	09/30/10	Long Term Capital Gain	2.55	
			<b>Security Subtotal</b>	<b>7.65</b>	
<b>TOTAL LONG-TERM CAPITAL GAINS DISTRIBUTIONS</b>				<b>370.65</b>	
<b>TOTAL CAPITAL GAIN DISTRIBUTIONS (LINE 2A 1099-DIV)</b>				<b>370.65</b>	
<b><u>LONG-DIVIDEND DISTRIBUTIONS</u></b>					
DUVEEN EQTY PREM OPP	500	04/01/10	Prin Payment	144.79	
	500	07/01/10	Prin Payment	144.79	
	500	10/01/10	Prin Payment	135.74	
			<b>Security Subtotal</b>	<b>425.32</b>	
EATON VANCE TAX MAN GLB	500	03/31/10	Prin Payment	170.34	
BUY WRT OPP FD	500	06/30/10	Prin Payment	170.34	
	500	09/30/10	Prin Payment	170.34	
			<b>Security Subtotal</b>	<b>511.02</b>	
HANCOCK PREF INCOME 3	500	01/29/10	Prin Payment	9.55	
INCOME FUND III	500	02/26/10	Prin Payment	9.55	
	500	03/31/10	Prin Payment	9.55	
	500	04/30/10	Prin Payment	9.55	
	500	05/28/10	Prin Payment	9.55	
	500	06/30/10	Prin Payment	9.55	
	500	07/30/10	Prin Payment	9.55	
			<b>Security Subtotal</b>	<b>66.85</b>	



# 2010 TAX REPORTING STATEMENT

## 2010 DIVIDENDS AND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Remarks
NEUBERGER RE SEC INC	422	01/29/10	Prin Payment	3.42	
ESTATE SECS INCOME FD	422	02/26/10	Prin Payment	3.42	
	422	03/31/10	Prin Payment	3.42	
	422	04/30/10	Prin Payment	3.42	
	422	05/28/10	Prin Payment	3.42	
	422	06/30/10	Prin Payment	3.42	
	422	07/30/10	Prin Payment	3.42	
	422	08/31/10	Prin Payment	3.42	
	422	09/30/10	Prin Payment	3.42	
<b>Security Subtotal</b>				<b>30.78</b>	
<b>TOTAL NONDIVIDEND DISTRIBUTIONS (LINE 3 1099-DIV)</b>				<b>1,033.97</b>	
<b>TOTAL FEDERAL INCOME TAX WITHHELD (INCLUDED IN LINE 4 1099-DIV)</b>				<b>0.00</b>	
<b>TOTAL FOREIGN TAX PAID (INCLUDED IN LINE 6 1099-DIV)</b>				<b>0.00</b>	

# 2010 TAX REPORTING STATEMENT

## 2010 INTEREST INCOME

Security Description	Quantity	Date	Transaction Description	Amount	Remarks
<b>INTEREST</b>					
ALL BANK DEPOSIT PROGRAM		01/29/10	Bank Interest	0.57	
		02/26/10	Bank Interest	0.63	
		03/31/10	Bank Interest	1.54	
		04/30/10	Bank Interest	3.64	
		05/28/10	Bank Interest	4.22	
		06/30/10	Bank Interest	5.03	
		07/30/10	Bank Interest	4.59	
		08/31/10	Bank Interest	4.58	
		09/30/10	Bank Interest	3.47	
			<b>Security Subtotal</b>	<b>28.27</b>	
<b>TOTAL INTEREST ACTIVITY</b>				<b>28.27</b>	
<b>TOTAL INTEREST (LINE 1 1099-INT)</b>				<b>28.27</b>	
<b>INTEREST ON TREASURY NOTES</b>					
J.S. TREASURY BOND 10.625% AUG 15 2015		02/16/10	Interest	956.25	
		08/16/10	Interest	956.25	
			<b>Security Subtotal</b>	<b>1,912.50</b>	
J.S. TRSY INFLATION NOTE 0.875% APR 15 2010		04/20/10	Interest	115.11	
J.S. TRSY INFLATION NOTE 3.00% JUL 15 2012		01/15/10	Interest	342.77	
		07/15/10	Interest	345.69	
			<b>Security Subtotal</b>	<b>688.46</b>	
J.S. TREASURY BOND 09.000% NOV 15 2018		05/17/10	Interest	315.00	
<b>TOTAL INTEREST ON TREASURY NOTES</b>				<b>3,031.07</b>	
<b>TOTAL INTEREST ON US SAVINGS BONDS AND TREASURY OBLIGATIONS (LINE 3 1099-INT)</b>				<b>3,031.07</b>	
<b>TOTAL FEDERAL INCOME TAX WITHHELD (INCLUDED IN LINE 4 1099-INT)</b>				<b>0.00</b>	



# **2010 TAX REPORTING STATEMENT** **2010 REPORTABLE TAX EXEMPT INCOME**

Security Description	Cusip	Quantity	Date	Transaction Description	Total Amount	AMT Amount	Remarks
<b>TAX EXEMPT DIVIDENDS</b>							
PIONEER MU HI INC ADVT ADVANTAGE TR		900	01/29/10	Dividend	76.50	15.77	
		900	02/26/10	Dividend	76.50	15.77	
		900	03/31/10	Dividend	76.50	15.77	
		900	04/30/10	Dividend	76.50	15.77	
		900	05/28/10	Dividend	76.50	15.77	
		900	06/30/10	Dividend	76.50	15.77	
		900	07/30/10	Dividend	76.50	15.77	
		900	08/31/10	Dividend	81.00	16.70	
		900	09/30/10	Dividend	81.00	16.70	
				<b>Security Subtotal</b>	<b>697.50</b>	<b>143.79</b>	
BLACKROCK NY MUNI INC		900	02/01/10	Dividend	74.25	14.48	
		900	03/01/10	Dividend	74.25	14.48	
		900	04/01/10	Dividend	74.25	14.48	
		900	05/03/10	Dividend	74.25	14.48	
		900	06/01/10	Dividend	74.25	14.48	
		900	07/01/10	Dividend	74.25	14.48	
		900	08/02/10	Dividend	74.25	14.48	
		900	09/01/10	Dividend	74.25	14.48	
		900	10/01/10	Dividend	74.25	14.48	
				<b>Security Subtotal</b>	<b>668.25</b>	<b>130.32</b>	
POWERSHARES GLOBAL EXCHANGE TRADED FD TR		80	01/29/10	Dividend	7.02	0.00	
		80	02/26/10	Dividend	7.00	0.00	
		80	03/31/10	Dividend	7.19	0.00	
		80	04/30/10	Dividend	7.05	0.00	
		80	05/28/10	Dividend	7.01	0.00	
		80	06/30/10	Dividend	6.95	0.00	
		80	07/30/10	Dividend	6.82	0.00	
		80	08/31/10	Dividend	6.74	0.00	
		80	09/30/10	Dividend	6.72	0.00	
				<b>Security Subtotal</b>	<b>62.50</b>	<b>0.00</b>	
ROCHESTER MUNICIPAL FDS CL B			01/27/10	Dividend	10.75	3.07	
			02/24/10	Dividend	10.67	3.04	
			03/24/10	Dividend	8.39	2.39	
				<b>Security Subtotal</b>	<b>29.81</b>	<b>8.50</b>	

# 2010 TAX REPORTING STATEMENT

## 2010 REPORTABLE TAX EXEMPT INCOME

Security Description	Cusip	Quantity	Date	Transaction Description	Total Amount	AMT Amount	Remarks
ROCHESTER MUNICIPALS FD CL A			01/27/10	Dividend	244.36	69.68	
			02/24/10	Dividend	244.36	69.68	
			03/24/10	Dividend	191.99	54.75	
				<b>Security Subtotal</b>	<b>680.71</b>	<b>194.11</b>	
<b>TOTAL TAX EXEMPT DIVIDENDS</b>					<b>2,138.77</b>	<b>476.72</b>	
<b>TAX EXEMPT INTEREST ON MUNICIPAL SECURITIES</b>							
NEW YORK NY SUBSERIES SER F-1 AMBAC SEP05 05.000%SEP01 21	64966FMS0		03/01/10	Interest	250.00	0.00	
			09/01/10	Interest	250.00	0.00	
				<b>Security Subtotal</b>	<b>500.00</b>	<b>0.00</b>	
NEW YORK ST TWY AT GEN RV SER G FSA SEP05 04.750%JAN01 30	650009QN6		01/04/10	Interest	1,187.50	0.00	
			07/01/10	Interest	1,187.50	0.00	
				<b>Security Subtotal</b>	<b>2,375.00</b>	<b>0.00</b>	
MONROE CNTY NY PUB IMPT OID NPFG JUL07 04.250%JUN01 20	61074PFK8		06/01/10	Interest	637.50	0.00	
<b>TOTAL TAX EXEMPT INTEREST ON MUNICIPAL SECURITIES</b>					<b>3,512.50</b>	<b>0.00</b>	
<b>TOTAL FEDERAL INCOME TAX WITHHELD (INCLUDED IN LINE 4 1099-INT)</b>					<b>0.00</b>		
<b>TOTAL TAX EXEMPT INTEREST (LINE 8 1099-INT)</b>					<b>5,651.27</b>		
<b>TOTAL SPECIFIED PRIVATE ACTIVITY BOND INTEREST (LINE 9 1099-INT)</b>						<b>476.72</b>	



**2010 TAX REPORTING STATEMENT****2010 OTHER DISTRIBUTIONS AND CHARGES\***

Security Description	Quantity	Date	Transaction Description	Total Amount	AMT Amount	Remarks
<b><u>NON-TAXABLE MUNICIPAL ACCRUED INTEREST PAID</u></b>						
MONROE CNTY NY PUB IMPT OID NPFG JUL07 04.250%JUN01 20	30000	03/18/10	Interest Paid	(378.96)	0.00	
<b>TOTAL NON-TAXABLE MUNICIPAL ACCRUED INTEREST PAID</b>				<b>(378.96)</b>	<b>0.00</b>	

\* Information in the Other Distributions and Charges section may have an impact on your Alternative Minimum Tax (AMT) calculation. Consult your Tax Advisor for more details.

Carolyn McCarthy

DATE	Activity	Description	\$ AMOUNT
12/31/2010	Dividend	PIONEER BOND A	0.07
12/31/2010	Dividend	PIONEER HIGH YIELD B	66.44
12/31/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	90.72
12/31/2010	Dividend	BLACKROCK INTL GRWTH & INC TR	96.90
12/30/2010	Dividend	FIDELITY ADV ENERGY B	0.68
12/30/2010	Dividend	FIDELITY ADV LATIN AMERICA B	1.53
12/30/2010	Dividend	ISHARES S&P GROW ALLOCATION	29.88
12/30/2010	Dividend	VAN ECK GLBL ALTERNATIVE ENGY	17.10
12/23/2010	Dividend	PIONEER EQUITY INC B	13.32
12/22/2010	Dividend	PIONEER CLASSIC BALANCED B	37.90
12/20/2010	Dividend	GREAT PLAINS ENERGY INC	62.25
12/17/2010	Dividend	FIDELITY ADV REAL ESTATE B	5.90
12/17/2010	Dividend	FIDELITY ADV STRAT DIV & INC B	31.91
12/10/2010	L/T Cap Gain	FIDELITY ADV SMALL CAP B	155.22
12/10/2010	Dividend	FIDELITY ADV ENERGY B	0.27
12/07/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	29.41
12/03/2010	S/T Cap Gain	FIDELITY ADV EMERG ASIA B	8.82
12/03/2010	L/T Cap Gain	FIDELITY ADV EMERG ASIA B	166.81
12/03/2010	S/T Cap Gain	FIDELITY ADV LATIN AMERICA B	10.19
12/03/2010	Dividend	FIDELITY ADV LATIN AMERICA B	2.04
11/30/2010	Dividend	PIONEER BOND A	0.05
11/30/2010	Dividend	PIONEER HIGH YIELD B	30.02
11/30/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	107.10
11/15/2010	Dividend	PROCTER & GAMBLE	96.36
11/05/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	30.07
10/29/2010	Dividend	PIONEER BOND A	0.04
10/29/2010	Dividend	PIONEER HIGH YIELD B	29.25
10/15/2010	Dividend	U S BANCORP COM NEW	10.00
10/07/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	29.35
10/01/2010	Dividend	FIDELITY ADV STRAT DIV & INC B	9.84
09/30/2010	Dividend	PIONEER BOND A	0.01
09/30/2010	Dividend	PIONEER HIGH YIELD B	7.84
09/30/2010	S/T Cap Gain	FIDELITY ADV LATIN AMERICA B	3.40
09/30/2010	Dividend	ISHARES S&P GROW ALLOCATION	16.14
09/30/2010	Dividend	BLACKROCK INTL GRWTH & INC TR	96.90
09/30/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	117.00
09/29/2010	S/T Cap Gain	FIDELITY ADV LATIN AMERICA B	11.76
09/29/2010	Dividend	FIDELITY ADV LATIN AMERICA B	19.82
09/29/2010	Dividend	NFJ DIV INT PREM STRAT & PREMIUM STRAT FD	75.75
09/23/2010	Dividend	PIONEER CLASSIC BALANCED B	29.49
09/23/2010	Dividend	PIONEER EQUITY INC B	12.88
09/20/2010	Dividend	GREAT PLAINS ENERGY INC	62.25
09/08/2010	Dividend	FIDELITY ADV REAL ESTATE B	3.02
09/08/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	31.26
09/01/2010	Dividend	PIONEER HIGH YIELD B	25.14
09/01/2010	Dividend	PIONEER BOND A	0.09
08/31/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	107.10
08/16/2010	Dividend	PROCTER & GAMBLE	96.36
08/06/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	29.95

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08/02/2010	Dividend	PIONEER HIGH YIELD B	27.63
08/02/2010	Dividend	PIONEER BOND A	0.09
07/26/2010	Dividend	GENERAL ELECTRIC	20.00
07/15/2010	Dividend	US BANCORP	10.00
07/13/2010	Dividend	FIDELITY ADV STRAT DIV & INC B	4.59
07/08/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	31.16
07/01/2010	Dividend	PIONEER HIGH YIELD B	26.09
07/01/2010	Dividend	PIONEER BOND A	0.08
07/01/2010	Dividend	ISHARES S&P GROW ALLOCATION	29.59
06/30/2010	Dividend	EATON VANCE TAX-MNGD GLBL BUY WRT OPP	117.00
06/30/2010	Dividend	BLACKROCK INTL GRWTH & INC TR	96.90
06/29/2010	Dividend	NFJ DIV INT PREM STRAT & PREMIUM STRAT FD	75.75
06/25/2010	Dividend	PIONEER CLASSIC BALANCED B	29.40
06/25/2010	Dividend	PIONEER EQUITY INC B	12.87
06/21/2010	Dividend	GREAT PLAINS ENERGY INC	62.25
06/08/2010	Dividend	FIDELITY ADV REAL ESTATE B	1.15
06/07/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	32.14
06/01/2010	Dividend	PIONEER HIGH YIELD B	26.09
06/01/2010	Dividend	PIONEER BOND A	0.09
05/28/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	107.10
05/17/2010	Dividend	PROCTER & GAMBLE	96.36
05/07/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	32.02
05/03/2010	Dividend	PIONEER HIGH YIELD B	26.77
05/03/2010	Dividend	PIONEER BOND A	0.09
04/26/2010	Dividend	GENERAL ELECTRIC	20.00
04/15/2010	Dividend	US BANCORP	10.00
04/13/2010	Dividend	FIDELITY ADV STRAT DIV & INC B	9.81
04/08/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	32.89
04/01/2010	Dividend	PIONEER HIGH YIELD B	30.38
04/01/2010	Dividend	PIONEER BOND A	0.08
04/01/2010	Dividend	ISHARES S&P GROW ALLOCATION	11.56
03/31/2010	Dividend	EATON VANCE TAX-MNGD GLBL BUY WRT OPP	117.00
03/31/2010	Dividend	BLACKROCK INTL GRWTH & INC TR	129.70
03/30/2010	Dividend	NFJ DIV INT PREM STRAT & PREMIUM STRAT FD	75.75
03/26/2010	Dividend	PIONEER CLASSIC BALANCED B	29.30
03/26/2010	Dividend	PIONEER EQUITY INC B	12.85
03/19/2010	Dividend	GREAT PLAINS ENERGY INC	62.25
03/09/2010	Dividend	FIDELITY ADV REAL ESTATE B	1.01
03/05/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	32.32
03/01/2010	Dividend	PIONEER HIGH YIELD B	30.21
03/01/2010	Dividend	PIONEER BOND A	0.08
02/26/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	107.10
02/16/2010	Dividend	PROCTER & GAMBLE	88.00
02/05/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	33.14
02/01/2010	Dividend	PIONEER HIGH YIELD B	27.89
02/01/2010	Dividend	PIONEER BOND A	0.08
01/25/2010	Dividend	GENERAL ELECTRIC	20.00
01/15/2010	Dividend	US BANCORP	10.00
01/05/2010	Dividend	ISHARES IBOX \$ H/Y CORP BND	28.99
01/04/2010	Dividend	NFJ DIV INT PREM STRAT & PREMIUM STRAT FD	75.75

**TOTAL DIVIDENDS & CAP GAINS**

**3,776.95**

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## SCHEDULE IV— TRANSACTIONS

Name Carolyn McCarthy

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**Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.**

**Capital Gains** — if a sales transaction resulted in a capital gain in excess of \$200, check the “capital gains” box and disclose this income on Schedule III.

[illegible]

HON CAROLYN  
MCCARTHY

Trade Date	Activity	Quantity	Description	Symbol	Price (\$)	Amount (\$)
08/17/2010	Bought	25	ISHARES IBOX\$ HIGH YEL CORPORATE BOND FUND	HYG	87.71	2,192.75
05/12/2010	Bought	400	EATON VANCE TAX MAN GLB BUY WRT OPP FD	ETW	12.6174	5,046.96
05/11/2010	Bought	300	POWERSHARES GLOBAL EXCHANGE TRADED FD TR	PZT	23.4518	7,035.54
04/05/2010	Bought	100	ISHARES BARCLAYS AGGRGT AGGREGATAE BD FUND	AGG	103.1674	10,316.74
04/05/2010	Bought	100	FIRST TR ISE REVERE NAT GAS INDEX FCG FD	FCG	18.2774	1,827.74
03/25/2010	Bought	300	ISHARES MSCI AUSTRALIA INDEX FUND PRODUCT	EWA	24.04	7,212.00
03/18/2010	Bought	100	FIRST TR ISE REVERE NAT GAS INDEX FCG FD	FCG	18.1774	1,817.74
02/12/2010	Bought	100	ISHARES S&P GSSI NATURAL RESOURCES INDEX FUND	IGE	32.8474	3,284.74
10/25/2010	Bought	100	JEFFERIES TR/J CR8 GLBL IND COMM DISCOUNT 46PCT Ref: 29806691	CRBI	43.36	4,442.04
10/25/2010	Bought	100	POWERSHARES DB COMM TRK INC COMM DISCOUNT 11PCT Ref: 29846394	DBC	25.09	2,615.00
03/15/2010	Bought	30,000	MONROE CNTY NY PUB IMPT OID NPFG JUL07 0.4250%JUN01 20 CALLABLE-MAY AFFECT YIELD BOOK	61074PFK 8	101.396	30,803.11



## 2010 TAX REPORTING STATEMENT

**1099-B**      **2010 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS**      **(OMB NO. 1545-0715)**

Security Description	Cusip Number	Quantity	Transaction Description	Trade Date	Amount	Remarks
J.S. TRSY INFLATION NOTE 0.875% APR 15 2010	912828CZ1	23000.0000	Redemption	04/15/10	26,310.39	
JOHN & STEERS SELECT INFRASTRUCTURE FUND INC	19248A109		Cash/Lieu	03/26/10	5.45	
VISDOMTREE INTL COMM SECTO	97717W745	195.0000	Redemption	03/30/10	4,393.35	
VISDOMTREE INTL IND SEC	97717W679	180.0000	Redemption	03/30/10	3,995.31	
ROCHESTER MUNICIPAL FDS CL B	771362209	159.8190	Sale	03/15/10	2,558.15	
ROCHESTER MUNICIPALS FD CL A	771362100	3138.9420	Sale	03/15/10	50,374.67	

**TOTAL GROSS PROCEEDS ACTIVITY**

**87,637.32**

**TOTAL GROSS PROCEEDS (LINE 2 1099-B)**

**87,637.32**

**TOTAL FEDERAL INCOME TAX WITHHELD (LINE 4 1099-B)**

**0.00**

Gross Proceeds and above transaction details from each of your 2010 securities trades are individually reported to the Internal Revenue Service (less commissions).

### **IMPORTANT TAX INFORMATION**

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.



# 2010 TAX REPORTING STATEMENT

1099-B

## 2010 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

Security Description	Cusip Number	Quantity	Transaction Description	Trade Date	Amount	Remarks
AFFILIATED COMP SVCS A	008190100	19.0000	Exchange	02/08/10	353.40	
AGRIUM INC	008916108	20.0000	Sale	02/12/10	1,283.58	
BOEING COMPANY	097023105	76.0000	Sale	03/18/10	5,360.97	
ISHARES MSCI ITALY INDEX FUND	464286855	100.0000	Sale	05/12/10	1,577.75	
ISHARES MSCI FRANCE INDX FUND	464286707	100.0000	Sale	05/12/10	2,249.21	
ISHARES MSCI SOUTH AFRCA INDEX FUND	464286780	100.0000	Sale	03/25/10	5,901.01	
ISHARES BARCLAYS TIPS BO PROTECTED SECS FD	464287176	20.0000	Sale	08/17/10	2,146.76	
VANGUARD SMALL CAP VALUE ETF	922908611	100.0000	Sale	05/11/10	6,176.26	
MARKET VECTORS RUSSIA	57060U506	100.0000	Sale	05/24/10	2,826.21	
GEN-PROBE INC DELAWARE	36866T103	16.0000	Sale	04/05/10	807.19	
HALLIBURTON COMPANY	406216101	92.0000	Sale	04/05/10	2,921.87	
HOME DEPOT INC	437076102	77.0000	Sale	05/24/10	2,579.46	
ISHARES MSCI BRAZIL FREE INDEX FUND	464286400	100.0000	Sale	05/27/10	6,272.89	
NEW YORK CMNTY BANCORP	649445103	131.0000	Sale	05/27/10	2,095.96	
PANERA BREAD CO CL A	69840W108	13.0000	Sale	03/18/10	1,021.92	
PHILIP MORRIS INTL INC	718172109	37.0000	Sale	04/05/10	1,948.39	
PEPSICO INC	713448108	37.0000	Sale	04/05/10	2,450.10	
SASOL LTD SPONSORED ADR	803866300	39.0000	Sale	04/05/10	1,673.85	
XEROX CORP	984121103	93.0000	Sale	02/12/10	813.74	
			Cash/Lieu	02/19/10	6.92	
			<b>Security Subtotal</b>		<b>820.66</b>	
WASTE MANAGEMENT INC NEW	94106L109	58.0000	Sale	04/05/10	2,010.83	
<b>TOTAL GROSS PROCEEDS ACTIVITY</b>					<b>52,478.27</b>	
<b>TOTAL GROSS PROCEEDS (LINE 2 1099-B)</b>					<b>52,478.27</b>	
<b>TOTAL FEDERAL INCOME TAX WITHHELD (LINE 4 1099-B)</b>					<b>0.00</b>	

1099 Consolidated Tax Statement  
Tax Year 2010 Copy B For Recipient

HON CAROLYN MCCARTHY

Morgan Stanley Smith Barney Holdings LLC  
One New York Plaza  
12th Floor  
New York, NY 10004  
Identification Number: 26-4310632

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Customer Service: 866-324-6088

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

DESCRIPTION	CUSIP	QUANTITY	TRADE DATE	NET PROCEEDS	FEDERAL INCOME TAX WITHHELD
AETNA INC (NEW)(CT)	00817Y108	71.000	10/25/10	\$2,125.27	\$0.00
ALTRIA GROUP INC	02209S103	91.000	10/25/10	\$2,179.62	\$0.00
KIMBERLY CLARK CORP	494368103	29.000	10/25/10	\$1,821.39	\$0.00
REYNOLDS AMERICAN INC	761713106	36.000	10/25/10	\$2,179.19	\$0.00
Total Gross Proceeds 1099-B box 2				\$8,305.47	
Total Federal Income Tax Withheld 1099-B box 4					\$0.00

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

# SCHEDULE V— LIABILITIES

Name Carolyn McCarthy

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Report liabilities of over \$10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report **revolving charge accounts** (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor		Date Liability Incurred Mo/Year	Type of Liability	Amount of Liability									
					A	B	C	D	E	F	G	H	I	J
					\$10,001- \$15,000	\$15,001- \$50,000	\$50,001- \$100,000	\$100,001- \$250,000	\$250,001- \$500,000	\$500,001- \$1,000,000	\$1,000,001- \$5,000,000	\$5,000,001- \$25,000,000	\$25,000,001- \$50,000,000	Over \$50,000,000
	Example:	First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main St., Dover, DE				X						
	Hampton State Bank			Mortgage of Westhampton			X							
				Rental House										

# SCHEDULE VI— GIFTS

Report the source, a brief description, and the value of all gifts totalling more than \$335 received by you, your spouse, or a dependent child from any source during the year.

**Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold.

**Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
<i>Example:</i> Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	\$345
NONE		

Use additional sheets if more space is required.



Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed by the sponsor.

[illegible]

## SCHEDULE VIII—POSITIONS

Name Carolyn McCarthy

Page 1 of 1

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

**Exclude:** Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
Honorary Board Member	New Yorkers Against Gun Violence
Honorary Board Member	Long Island Blood Service

## SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

**FORM A** Page 1 of 9  
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER

2011 MAY 12 AM 10:17

Gary L. Ackerman  
(Full Name)

202-225-2601  
(Daytime Telephone)

**HAND DELIVERED**

(Office Use Only)

**Filer Status**

☒ Member of the U.S. House of Representatives  
State: NY  
District: 05

☐ Officer Or Employee  
Employing Office:

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**Report Type**

☒ Annual (May 15) ☐ Amendment ☐ Termination

Termination Date:

**PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p>I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule I.</p>	<p>VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  If yes, complete and attach Schedule VI.</p>
<p>II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule II.</p>	<p>VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule VII.</p>
<p>III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule III.</p>	<p>VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule VIII.</p>
<p>IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  If yes, complete and attach Schedule IV.</p>	<p>IX. Did you have any reportable agreement or arrangement with an outside entity? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  If yes, complete and attach Schedule IX.</p>
<p>V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  If yes, complete and attach Schedule V.</p>	<p><b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b></p>

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p><b>Trusts--</b></p>	<p>Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p><b>Exemptions--</b></p>	<p>Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>

**SCHEDULE I - EARNED INCOME**

Name Gary L. Ackerman

Page 2 of 9

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
Pride of Judea Mental Health Center/Jewish Board of Family and Children's Services	Spouse Compensation	N/A
Spouse Private Practice/Consulting	Spouse Compensation	N/A

**SCHEDULE II - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA**

Name Gary L. Ackerman

Page 3 of 9

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics. A green envelope for transmitting the list is included in each Member's filing package. Employees may request a green envelope from the Clerk or use a plain envelope that is appropriately labeled.

Source	Activity	Date	Amount
Connell Co.	Speech	Oct. 20, 2010	\$2,000

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gary L. Ackerman

Page 4 of 9

<p><b>BLOCK A</b></p> <p><b>Asset and/or Income Source</b></p> <p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or</p>	<p><b>BLOCK B</b></p> <p><b>Year-End Value of Asset</b></p> <p>at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."</p>	<p><b>BLOCK C</b></p> <p><b>Type of Income</b></p> <p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p>	<p><b>BLOCK D</b></p> <p><b>Amount of Income</b></p> <p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p>	<p><b>BLOCK E</b></p> <p><b>Transaction</b></p> <p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
Tribco, LLC (newspaper company), Flushing, NY	\$250,001 - \$500,000	None	NONE	
SP IRA--Nationwide Annuity: Best of America IV Fixed Account	\$15,001 - \$50,000	INTEREST	\$1 - \$200	
IRA--Family Management Corp.	\$50,001 - \$100,000	See below for specific assets	See below	
IRA--Nationwide Annuity: Best of America IV Fixed Account (part of Family Management Corp. IRA)	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
Pershing Alliance--Dreyfus Treasury Cash/Money Market Government Account (part of Family Management Corp. IRA)	\$1,001 - \$15,000	None	NONE	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Gary L. Ackerman

Page 5 of 9

	Sonus Networks, Inc. Stock (part of Family Management Corp. IRA)	\$1 - \$1,000	None	NONE	
	Fairholme Fund (part of Family Management Corp. IRA)	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	
	Melrose Credit Union	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	Citibank (checking/savings/Money Market accounts)	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	Send Word Now (SWN) (stock)	\$15,001 - \$50,000	None	NONE	
	IRA Sterling Trust/Esquire Bank	\$50,001 - \$100,000	None	NONE	
	Pershing Alliance--Dreyfus Treasury Cash/Money Market Government Account	\$1 - \$1,000	None	NONE	
	Congressional Federal Credit Union	\$1 - \$1,000	None	NONE	
	Fidelity Investments, Magellan Fund	\$1,001 - \$15,000	DIVIDENDS/INTE REST	\$1 - \$200	
	Webster Bank accounts	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	Manulife	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
	Bethpage Federal Credit Union (proceeds from mortgage refinance)	\$100,001 - \$250,000	INTEREST/DIVID ENDS	\$201 - \$1,000	
	Chase Bank accounts	\$1,001 - \$15,000	None	NONE	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Gary L. Ackerman

Page 6 of 9

DC1	NYS 529 College Savings Plan	\$1,001 - \$15,000	None	NONE	P All under \$500 purchase various dates
DC2	NYS 529 College Savings Plan	\$1,001 - \$15,000	None	NONE	P All under \$500 purchase various dates
DC3	NYS 529 College Savings Plan	\$1,001 - \$15,000	None	NONE	P All under \$500 purchase various dates
DC4	NYS 529 College Savings Plan	\$1,001 - \$15,000	None	NONE	P All under \$500 purchase various dates



**SCHEDULE V - LIABILITIES**

Name Gary L. Ackerman

Page 7 of 9

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	Selig Zises	2007	Loan secured by stock	\$15,001 - \$50,000

**SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS**

Name Gary L. Ackerman

Page 8 of 9

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
Aspen Institute	Aug 6-8	NYC-Denver-Aspen-Denver- NYC	Y	Y	Y	None

SCHEDULE VIII - POSITIONS

Name Gary L. Ackerman

Page 9 of 9

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors (unpaid)	Tribco LLC

<b>UNITED STATES HOUSE OF REPRESENTATIVES</b> <b>CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT</b>	<b>FORM A</b> <span style="float: right;">Page 1 of 7</span> For use by Members, officers, and employees
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**HAND DELIVERED**

Joseph Crowley (Full Name)	202-225-3965 (Daytime Telephone)	2011 MAY 16 AM 10:50 (Office Use Only)
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<b>Filer Status</b>	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives State: NY District: 07	<input type="checkbox"/> Officer Or Employee Employing Office:	<b>A \$200 penalty shall be assessed against anyone who files more than 30 days late.</b>
<b>Report Type</b>	<input checked="" type="checkbox"/> Annual (May 15)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination Termination Date:

**PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule I.	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VI.
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule II.	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VII.
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule III.	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VIII.
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule IV.	IX. Did you have any reportable agreement or arrangement with an outside entity? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IX.
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule V.	<b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b>

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS**

<b>Trusts--</b>	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions--</b>	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

Name Joseph Crowley

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
Virginia Hospital Center	Spouse Salary	N/A

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Joseph Crowley

Page 3 of 7

BLOCK A		BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source		Year-End Value of Asset	Type of Income	Amount of Income	Transaction
Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.		at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
Provide complete names of stocks and mutual funds (do not use ticker symbols.)					
For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.					
For rental or other real property held for investment, provide a complete address.					
For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.					
Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or					
	1 Farley Drive, Rensselaer, NY	None	CAPITAL GAINS/RENT	\$15,001 - \$50,000	S
DC	Coca-Cola Co Stock held by spouse for DC-1	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Coca-Cola Co Stock held by spouse for DC-2	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Coca-Cola Co Stock held by spouse for DC-3	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	Congressional Federal Credit Union (previously valued at less than \$1000)	\$50,001 - \$100,000	NONE	NONE	
DC	New York's College Savings Program held by member of Congress for DC-2	\$1,001 - \$15,000	Other: not self-directed	N/A	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Joseph Crowley

Page 4 of 7

DC	New York's College Savings Program held by spouse for DC-1	\$1,001 - \$15,000	Other: not self-directed	N/A	
DC	New York's College Savings Program held by spouse for DC-3	\$1,001 - \$15,000	Other: not self-directed	N/A	
SP	Northwestern Mutual IRA - Allianz NFJ Small Cap Value Fund	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - American Balanced Fund Class B	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - American High Income Trust Class B	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - Europacific Growth Fund Class B	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - Federated MID-CAP Index Fund	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - Fidelity Advisor Small Cap Fund	\$1,001 - \$15,000	DIVIDENDS	NONE	
SP	Northwestern Mutual IRA - Growth Fund of America Class B	\$1,001 - \$15,000	DIVIDENDS	NONE	
SP	Northwestern Mutual IRA - Washington Mutual Investors Fund	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Procter & Gamble Co Stock held by spouse for DC-1	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Procter & Gamble Co Stock held by spouse for DC-2	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Joseph Crowley

Page 5 of 7

DC	Procter & Gamble Co Stock held by spouse for DC-3	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Reliastar Life Insurance Company-Qualified Annuity	\$15,001 - \$50,000	Other: Retirement Account	\$1,001 - \$2,500	



**SCHEDULE IV - TRANSACTIONS**

Name Joseph Crowley

Page 6 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	1 Farley Drive, Rensselaer, NY (sale of property)	S	Yes	12-23-2010	\$15,001 - \$50,000

**SCHEDULE V - LIABILITIES**

Name Joseph Crowley

Page 7 of 7

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	Chase Manhattan Mortgage	N/A	Mortgage on 1 Farley Drive, Rensselaer, NY (property was sold 12-23-2010)	\$15,001 - \$50,000

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

 Form A  
 For use by Members, officers, and employees

**HAND DELIVERED**

LEGISLATIVE RESOURCE CENTER

2011 MAY -3 PM 3:55

OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVESName: Terrold Lewis NadlerDaytime Telephone: (212) 367-7350  
(202) 225-5835

Filer Status

Member of the U.S.  
House of RepresentativesState: N.Y.  
District: 8☐ Officer or  
Employee

Employing Office:

Report Type



Annual (May 16, 2011)

☐ Amendment☐ Termination

Termination Date:

**A \$200 penalty shall be assessed  
against anyone who files more than  
30 days late.**
**PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS**

 I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period?  
 If yes, complete and attach Schedule I.
Yes ☒No ☐
 VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)?  
 If yes, complete and attach Schedule VI.
Yes ☐No ☒
 II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?  
 If yes, complete and attach Schedule II.
Yes ☐No ☒
 VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)?  
 If yes, complete and attach Schedule VII.
Yes ☐No ☒
 III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period?  
 If yes, complete and attach Schedule III.
Yes ☒No ☐
 VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year?  
 If yes, complete and attach Schedule VIII.
Yes ☒No ☐
 IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period?  
 If yes, complete and attach Schedule IV.
Yes ☐No ☒
 IX. Did you have any reportable agreement or arrangement with an outside entity?  
 If yes, complete and attach Schedule IX.
Yes ☐No ☒
 V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?  
 If yes, complete and attach Schedule V.
Yes ☒No ☐
**Each question in this part must be answered and the  
appropriate schedule attached for each "Yes" response.**
**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**
**TRUSTS**—Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?
Yes ☐No ☒
**EXEMPTION**—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.
Yes ☐No ☒

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

[illegible]

# SCHEDULE III—ASSETS AND “UNEARNED” INCOME

Name Terrold Lewis Nadler

Page 3 of 5

BLOCK A Asset and/or Income Source			BLOCK B Value of Asset												BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in “unearned” income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p><b>Exclude:</b> Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.</p> <p>For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.</p>			<p>Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used.</p> <p>If an asset was sold during the reporting year and is included only because it generated income, the value should be “None.”</p>												<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the “None” column. <b>Dividends, interest, and capital gains, even if reinvested, must be disclosed as income.</b> Check “None” if the asset generated no income during the reporting period.</p>						<p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the “None” column. For all other assets, indicate the category of income by checking the appropriate box below. <b>Dividends, interest, and capital gains, even if reinvested, must be disclosed as income.</b> Check “None” if no income was earned or generated.</p>											<p>Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
			A	B	C	D	E	F	G	H	I	J	K	L	None	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI
SP		SP	Mega Corp. Stock		X										X		X		Royalties				X									S (partial)
DC, Examples:			Simon & Schuster																													
JT			1st Bank of Paducah, KY Accounts				X									X								X								
			HSBC BANK			X										X							X									
SP			CHASE BANK		X											X							X									

# SCHEDULE V— LIABILITIES

Name Jerrold Lewis Nadler

Page 4 of 5

Report liabilities of over \$10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report **revolving charge accounts** (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred Mo/Year	Type of Liability	Amount of Liability										
				A \$10,001- \$15,000	B \$15,001- \$50,000	C \$50,001- \$100,000	D \$100,001- \$250,000	E \$250,001- \$500,000	F \$500,001- \$1,000,000	G \$1,000,001- \$5,000,000	H \$5,000,001- \$25,000,000	I \$25,000,001- \$50,000,000	J Over \$50,000,000	
	Example: First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main St., Dover, DE				X							
	Citibank	2006	Plus Student Loan (paid off in May 2010)					X						
	Chase Credit Card Services	12/10	Revolving Credit Card	X										

# SCHEDULE VI— GIFTS

Report the source, a brief description, and the value of all gifts totalling more than \$335 received by you, your spouse, or a dependent child from any source during the year. **Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold. **Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
<i>Example:</i> Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	\$345

Use additional sheets if more space is required.

## SCHEDULE VIII—POSITIONS

Name Terrell Lewis Nadler

Page 5 of 5

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

**Exclude:** Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
National Vice President	Bnai Zion Foundation (uncompensated)
Chair	East of Hudson Rail Freight Task Force (uncompensated)
Member, N.Y. Bd. of Directors	Anti-Defamation League (uncompensated)

## SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

**FORM A** Page 1 of 6  
For use by Members, officers, and employees

**HAND DELIVERED**

Anthony Weiner

(Full Name)

718-520-9001

(Daytime Telephone)

2011 MAY 16 AM 10:43

(Office Use Only)

**Filer Status**

☒ Member of the U.S. House of Representatives State: NY District: 09

☐ Officer Or Employee

Employing Office:

U.S. HOUSE OF REPRESENTATIVES

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**Report Type**

☒ Annual (May 15)

☐ Amendment

☐ Termination

Termination Date:

**PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p>I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, complete and attach Schedule I.</p>	<p>VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule VI.</p>
<p>II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, complete and attach Schedule II.</p>	<p>VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule VII.</p>
<p>III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, complete and attach Schedule III.</p>	<p>VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule VIII.</p>
<p>IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, complete and attach Schedule IV.</p>	<p>IX. Did you have any reportable agreement or arrangement with an outside entity? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule IX.</p>
<p>V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule V.</p>	<p>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</p>

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p><b>Trusts--</b></p>	<p>Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p><b>Exemptions--</b></p>	<p>Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>



**SCHEDULE I - EARNED INCOME**

Name Anthony Weiner

Page 2 of 6

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
United States Department of State	Spouse Salary	N/A

**SCHEDULE II - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA**

Name Anthony Weiner

Page 3 of 6

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics. A green envelope for transmitting the list is included in each Member's filing package. Employees may request a green envelope from the Clerk or use a plain envelope that is appropriately labeled.

Source	Activity	Date	Amount
Bill Maher Show -HBO	Appearance	April, 30 2010	\$850

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Anthony Weiner

Page 4 of 6

<b>BLOCK A</b>  <b>Asset and/or Income Source</b>  Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.  Provide complete names of stocks and mutual funds (do not use ticker symbols.)  For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.  For rental or other real property held for investment, provide a complete address.  For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.  Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or	<b>BLOCK B</b>  <b>Year-End Value of Asset</b>  at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	<b>BLOCK C</b>  <b>Type of Income</b>  Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	<b>BLOCK D</b>  <b>Amount of Income</b>  For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	<b>BLOCK E</b>  <b>Transaction</b>  Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
3M Company	\$1,001 - \$15,000	None	NONE	
CR Bard	\$1,001 - \$15,000	None	NONE	
Dow Chemical Company	\$1,001 - \$15,000	None	NONE	
McGraw Hill Compainies	\$1,001 - \$15,000	None	NONE	
Rowan Companies Inc.	\$1,001 - \$15,000	None	NONE	
Sony Corp. ADR	\$1,001 - \$15,000	None	NONE	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Anthony Weiner

Page 5 of 6

	Teco Energy Inc. E	\$1,001 - \$15,000	None	NONE	
	Micron Technology Inc.	\$1,001 - \$15,000	None	NONE	
	Zimmer Holdings	\$1,001 - \$15,000	None	NONE	
	Hewlett-Packard Co.	\$1,001 - \$15,000	None	NONE	
	Wells Fargo PFD	None	CAPITAL GAINS	\$201 - \$1,000	S
	Capline Corp	\$1,001 - \$15,000	None	NONE	
	Cisco Systems	\$1,001 - \$15,000	None	NONE	
	Corning Inc.	\$1,001 - \$15,000	None	NONE	
	Williams Companies	\$1,001 - \$15,000	None	NONE	
SP	NIH Credit Union	\$100,001 - \$250,000	INTEREST	\$201 - \$1,000	
	Chesapeake Energy Corp	\$1,001 - \$15,000	None	NONE	
	Merck & Co. Inc	\$1 - \$1,000	None	NONE	
	Accredited Home Lender Pfd.	\$1,001 - \$15,000	None	NONE	

**SCHEDULE IV - TRANSACTIONS**

Name Anthony Weiner

Page 6 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Cisco Systems Inc	P	N/A	2-5-10	\$1,001 - \$15,000
	Corning Inc	P	N/A	5-7-10	\$1,001 - \$15,000
	Dow Chemical	S(part)	No	1-26-10	\$1,001 - \$15,000
	Live Nation	P	N/A	5-10-10	\$1,001 - \$15,000
	McGraw-Hill Companies	S(part)	No	2-8-10	\$1,001 - \$15,000
	Motors Liquidation Co	S	No	4-21-10	\$1,001 - \$15,000
	Wells Fargo Pfd Series L	S	Yes	5-7-10	\$1,001 - \$15,000
	Williams Companies	P	N/A	1-26-10	\$1,001 - \$15,000

**UNITED STATES HOUSE OF REPRESENTATIVES  
CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

**FORM A** Page 1 of 4  
For use by Members, officers, and employees

**HAND DELIVERED**

NYDIA M. VELAZQUEZ

202-225-2361

2011 MAY 13 PM 2:41

(Full Name)

(Daytime Telephone)

(Office Use Only)

**Filer Status**

☒ Member of the U.S. House of Representatives State: NY District: 12

☐ Officer Or Employee Employing Office: \_\_\_\_\_

**Report Type**

☒ Annual (May 15) ☐ Amendment ☐ Termination

Termination Date: \_\_\_\_\_

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p><b>I.</b> Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule I.</p>	<p><b>VI.</b> Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VI.</p>
<p><b>II.</b> Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule II.</p>	<p><b>VII.</b> Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VII.</p>
<p><b>III.</b> Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule III.</p>	<p><b>VIII.</b> Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VIII.</p>
<p><b>IV.</b> Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IV.</p>	<p><b>IX.</b> Did you have any reportable agreement or arrangement with an outside entity? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IX.</p>
<p><b>V.</b> Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule V.</p>	<p><b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b></p>

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p><b>Trusts--</b> Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p><b>Exemptions--</b> Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>

**SCHEDULE I - EARNED INCOME**

Name NYDIA M. VELAZQUEZ

Page 2 of 4

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
NYC Comptroller's Office	Spouse Salary	N/A
Starcraft Press	Spouse Commissions	N/A

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NYDIA M. VELAZQUEZ

Page 3 of 4

BLOCK A		BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source		Year-End Value of Asset	Type of Income	Amount of Income	Transaction
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or</p>		<p>at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."</p>	<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p>	<p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
SP	20th Century ROTH IRA (Growth Fund)	\$15,001 - \$50,000	None	NONE	
JT	84 Woodhull Street, Brooklyn, New York	\$1,000,001 - \$5,000,000	RENT	\$50,001 - \$100,000	
SP	HSBC ROTH IRA (American Century Growth Fund)	\$1,001 - \$15,000	None	NONE	



**SCHEDULE V - LIABILITIES**

Name NYDIA M. VELAZQUEZ

Page 4 of 4

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
JT	Chase	April 2003	Home Equity Line of Credit	\$100,001 - \$250,000
JT	Chase	March 2005	Mortgage on 84 Woodhull	\$1,000,001 - \$5,000,000
	Wright Patman CFCU	December 2010	Revolving Charge Account	\$10,001 - \$15,000

**UNITED STATES HOUSE OF REPRESENTATIVES  
CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

Form A  
For use by Members, officers, and employees

**HAND DELIVERED**

Name: **MICHAEL G. GRIMM**

Daytime Telephone: **(202) 225-3371**

RELATIVE RESOURCE CENTER  
2011 MAY 16 PM 5:46  
OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES

<b>Filer Status</b>	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <b>NY</b> District: <b>13</b>	<input type="checkbox"/> Officer or Employee	Employing Office:
<b>Report Type</b>	<input checked="" type="checkbox"/> Annual (May 16, 2011)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Termination Date:

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII.	Yes <input type="checkbox"/> No <input type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input type="checkbox"/> No <input type="checkbox"/>
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	<b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b>	

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**

<b>TRUSTS</b> —Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>EXEMPTION</b> —Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**Exclude:** Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

[illegible]

**For payments to charity in lieu of honoraria, use Schedule II.**

# SCHEDULE III—ASSETS AND “UNEARNED” INCOME

Name **MICHAEL G. GRIMM**

Page **3** of **5**

BLOCK A Asset and/or Income Source			BLOCK B Value of Asset												BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction	
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in “unearned” income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p><b>Exclude:</b> Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.</p> <p>For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.</p>			<p>Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used.</p> <p>If an asset was sold during the reporting year and is included only because it generated income, the value should be “None.”</p>												<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the “None” column. <b>Dividends, interest, and capital gains, even if reinvested, must be disclosed as income.</b> Check “None” if the asset generated no income during the reporting period.</p>						<p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the “None” column. For all other assets, indicate the category of income by checking the appropriate box below. <b>Dividends, interest, and capital gains, even if reinvested, must be disclosed as income.</b> Check “None” if no income was earned or generated.</p>											<p>Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p> <p>If only a portion of an asset is sold, please indicate as follows: (S) (partial) See below for example.</p>	
			A	B	C	D	E	F	G	H	I	J	K	L							I	II	III	IV	V	VI	VII	VIII	IX	X	XI		
			None	\$1 – \$1,000	\$1,001 – \$15,000	\$15,001 – \$50,000	\$50,001 – \$100,000	\$100,001 – \$250,000	\$250,001 – \$500,000	\$500,001 – \$1,000,000	\$1,000,001 – \$5,000,000	\$5,000,001 – \$25,000,000	\$25,000,001 – \$50,000,000	Over \$50,000,000	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	None	\$1 – \$200	\$201 – \$1,000	\$1,001 – \$2,500	\$2,501 – \$5,000	\$5,001 – \$15,000	\$15,001 – \$50,000	\$50,001 – \$100,000	\$100,001 – \$1,000,000	\$1,000,001 – \$5,000,000	Over \$5,000,000	P, S, E
SP, DC, JT	Examples:	SP Mega Corp. Stock				X									X			X		Royalties				X						X		S (partial)	
		Simon & Schuster			Indefinite												X																
		1st Bank of Paducah, KY Accounts					X										X								X								
		50 BORMAN AVENUE STATEN ISLAND, NY 10314							X								X								X								
		AUSTIN REFUEL, LLC.						X						X								X											
		NOTE RECEIVABLE FROM SALE OF GRANN SAYZ, LLC.				X														Proceeds of Sale					X								S

For additional assets and unearned income, use next page.

# **SCHEDULE V— LIABILITIES**

Name **MICHAEL G. GRIMM**

Page **4** of **5**

Report liabilities of over \$10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report **revolving charge accounts** (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor		Date Liability Incurred Mo/Year	Type of Liability	Amount of Liability									
					A	B	C	D	E	F	G	H	I	J
					\$10,001- \$15,000	\$15,001- \$50,000	\$50,001- \$100,000	\$100,001- \$250,000	\$250,001- \$500,000	\$500,001- \$1,000,000	\$1,000,001- \$5,000,000	\$5,000,001- \$25,000,000	\$25,000,001- \$50,000,000	Over \$50,000,000
	Example:	First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main St., Dover, DE				X						
	INDYMAC BANK			MORTGAGE ON 50 BORMAN AVE, STATEN ISLAND, NY 10314					X					
JT	COMPASS BANK		2007	PERSONAL LOAN		X								
	SALLIE MAE		2002	LAW SCHOOL LOAN		X								

# **SCHEDULE VI— GIFTS**

Report the source, a brief description, and the value of all gifts totalling more than \$335 received by you, your spouse, or a dependent child from any source during the year.

**Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold.

**Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
<i>Example:</i> Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	\$345

Use additional sheets if more space is required.

## SCHEDULE VIII—POSITIONS

Name **MICHAEL G. GRIMM**

Page **5** of **5**

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

**Exclude:** Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
<b>MEMBER</b>	<b>AUSTIN REFUEL, LLC.</b>

## SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

UNITED STATES HOUSE OF REPRESENTATIVES  
CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT

FORM A  
For use by Members, officers, and employees

Page 1 of 8 LEGISLATIVE RESOURCE CENTER

2011 MAY 13 PM 1:15

Carolyn B. Maloney  
(Full Name)

202-225-7944  
(Daytime Telephone)

U.S. HOUSE OF REPRESENTATIVES  
**HAND DELIVERED**

(Office Use Only)

Filer  
Status

☒ Member of the U.S.  
House of Representatives

State: NY  
District: 14

☐ Officer Or  
Employee

Employing Office:

Report  
Type

☒ Annual (May 15)

☐ Amendment

☐ Termination

Termination Date:

A \$200 penalty shall  
be assessed against  
anyone who files  
more than 30 days  
late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics. Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

Name Carolyn B. Maloney

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
SEA BAY DEVELOPMENT CORP VIRGINIA BEACH, VIRGINIA A FAMILY OWNED REAL ESTATE BUSINESS	MANAGEMENT FEES	\$25,000



# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Carolyn B. Maloney

Page 3 of 8

BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
<b>Asset and/or Income Source</b> Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.  Provide complete names of stocks and mutual funds (do not use ticker symbols.)  For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.  For rental or other real property held for investment, provide a complete address.  For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.  Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or	<b>Year-End Value of Asset</b>  at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	<b>Type of Income</b>  Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	<b>Amount of Income</b>  For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	<b>Transaction</b>  Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
STOCK - SEA BAY DEVELOPMENT CORP., RESIDENTIAL AND COMMERCIAL REAL ESTATE, VIRGINIA BEACH, VA, SEE ATTACHED SCHEDULE 3	\$250,001 - \$500,000	RENT/INTEREST /SUB-S INCOME	\$1,001 - \$2,500	
GREENSEA FARMS, LLC - 1/4 INTEREST, REAL ESTATE, CHESAPEAKE, VA	\$250,001 - \$500,000	RENT/CAPITAL GAINS/PARTNE RSHIP INCOME	\$5,001 - \$15,000	
BOSHER FAMILY LLC, PARTNER IN HPB ENTERPRISES T/A ALBEMARLE PLANTATION , HERTFORD, N.C., SEE SCHEDULE 5	\$1,000,001 - \$5,000,000	RENT/INTEREST /CAPITAL GAINS/PARTNE RSHIP INCOME	NONE	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Carolyn B. Maloney

Page 4 of 8

ALBEMARLE PLANTATION LLC, HOLDS 25% INTEREST IN HPB ENTERPRISES T/A ALBEMARLE PLANTATION, REAL ESTATE AND COMMERCIAL VENTURES IN HERTFORD, N.C. SEE SCHEDULE 4	\$1,000,001 - \$5,000,000	RENT/INTEREST /CAPITAL GAINS	NONE	
JEFFERSON INVESTORS, LLC, REAL ESTATE, RESIDENTAL AND COMMERCIAL RENTALS, VIRGINIA BEACH, VA. SEE SCHEDULE 6	\$1,000,001 - \$5,000,000	RENT	\$50,001 - \$100,000	
UNDIVIDED INTEREST IN 96 ACRES - ROUTE 64, SOUTHAMPTON COUNTY VA	\$15,001 - \$50,000	CAPITAL GAINS	NONE	
HOUSE - 206 D STREET, SE WASHINGTON, D.C.	\$1,000,001 - \$5,000,000	RENT	\$50,001 - \$100,000	
CONDO UNIT 210, THE MONROE CONDOMINIUMS, ARLINGTON, VA	\$500,001 - \$1,000,000	RENT	\$15,001 - \$50,000	
CHASE J.P. MORGAN, CHECKING ACCOUNT	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
STOCK - BIRDNECK COUNTRY CLUB APARTMENTS, INC. LAND INVESTMENT VIRGINIA BEACH, VA.	\$500,001 - \$1,000,000	RENT	\$5,001 - \$15,000	
STOCK - JTP, INC. LAND AND RENTAL INVESTMENTS, JONESTOWN ROAD, CHESAPEAKE, VA	\$15,001 - \$50,000	RENT	\$5,001 - \$15,000	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Carolyn B. Maloney

Page 5 of 8

STOCK - BEECHTREE PARK, INC. LAND INVESTMENTS VIRGINIA BEACH AND CHESAPEAKE, VA SEE ATTACHED SCHEDULE 1	\$500,001 - \$1,000,000	RENT/INTEREST /CAPITAL GAINS, S-CORP INCOME	\$15,001 - \$50,000	
STOCK - HOLIDAY VILLAGE, INC. REAL ESTATE INVESTMENTS AND COMMERCIAL RENTALS, VIRGINIA BEACH, VA	\$250,001 - \$500,000	RENT	\$5,001 - \$15,000	
R. G BOSHER IRREVOCABLE LIFE INSURANCE TRUSTS, INVESTMENTS	\$500,001 - \$1,000,000	CAPITAL GAINS/DIVIDEN DS/INTEREST	\$15,001 - \$50,000	
BOSHER FAMILY PARTNERSHIP L.P., REAL ESTATE INVESTMENTS IN NORTH CAROLINA AND FLORIDA SEE ATTACHED SCHEDULE 2	\$15,001 - \$50,000	INTEREST/DIVID ENDS PARTNERSHIP INCOME	\$1 - \$200	
1/4 INTEREST IN THE COLUMNS LLC, - REAL ESTATE - ROSE HILL, JAMAICA	\$500,001 - \$1,000,000	RENT/INTEREST	\$2,501 - \$5,000	
RENTAL PROPERTY & RESIDENCE - EAST 92ND ST. NEW YORK, NEW YORK	\$5,000,001 - \$25,000,000	RENT	\$50,001 - \$100,000	

# SCHEDULE V - LIABILITIES

Name Carolyn B. Maloney

Page 6 of 8

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	ALMA BANK	2009	MORTGAGE ON EAST 92ND ST. NEW YORK, NEW YORK	\$250,001 - \$500,000
	CITI MORTGAGE	April 2005	MORTGAGE ON D ST. SE WASHINGTON D.C.	\$500,001 - \$1,000,000
	CARDINAL BANK	November 2006	MORTGAGE ON 210 THE MONROE CONDO, ARLINGTON, VIRGINIA	\$250,001 - \$500,000
	RGB, INC. R G BOSHER IRREVOCABLE LIFE INSURANCE TRUSTS	various dates	REAL ESTATE AND PARTNERSHIP ACQUISITION LOANS	\$500,001 - \$1,000,000
	ESTATE OF RALPH G. BOSHER	April 2005	REAL ESTATE ACQUISITION LOAN	\$500,001 - \$1,000,000
	SEA BAY DEVELOPMENT CORP	October - December 2009	PARTNERSHIP ACQUISITION LOAN	\$250,001 - \$500,000

## SCHEDULE VIII - POSITIONS

Name Carolyn B. Maloney

Page 7 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
PARTNER	BOSHER FAMILY PARTNERSHIP L.P. VIRGINIA BEACH, VIRGINIA
MEMBER	GREENSEA FARMS LLC VIRGINIA BEACH, VIRGINIA
MEMBER	BOSHER FAMILY LLC VIRGINIA BEACH, VIRGINIA
MEMBER	ALBEMARLE PLANTATION LLC VIRGINIA BEACH, VIRGINIA
MEMBER	JEFFERSON INVESTORS, LLC VIRGINIA BEACH, VIRGINIA
MANAGER	SEA BAY DEVELOPMENT CORP VIRGINIA BEACH, VIRGINIA

**FOOTNOTES**

Name Carolyn B. Maloney

Page 8 of 8

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule VIII	ON JUNE 13, 2008, A CHARITABLE ORGANIZATION WAS FORMED UNDER THE NAME EQUALITY 2020, INC., UNDER SECTION 402 OF THE NOT FOR PROFIT CORPORATION LAW OF THE STATE OF NEW YORK. WHILE REPRESENTATIVE MALONEY IS INDIRECTLY CONNECTED WITH THIS ORGANIZATION, SHE HAS NO POSITION WITH THIS ORGANIZATION AND RECEIVES NO BENEFIT FROM THE OPERATIONS OF THE ENTITY	N/A

Carolyn B. Maloney  
2332 Rayburn House Office Building  
Washington, D. C. 20515

Schedule I

ATTACHMENT TO SCHEDULE III, PAGE 5 OF 8  
FINANCIAL DISCLOSURE STATEMENT  
FOR THE YEAR DECEMBER 31, 2010

BEECHTREE PARK, INC.

Beechtree Park, Inc. as noted on Schedule III, page 5 of the 2010 financial disclosure represents a family owned closely held S-corporation located in Virginia Beach, Virginia. The corporation invests in real estate to be developed into commercial and residential sites. All of the properties are located in Virginia Beach and Chesapeake, Virginia.

Carolyn B. Maloney  
2332 Rayburn House Office Building  
Washington, D. C. 20515

Schedule 2

ATTACHMENT TO SCHEDULE III, PAGES 5 OF 8  
FINANCIAL DISCLOSURE STATEMENT  
FOR THE YEAR DECEMBER 31, 2010

The following is a listing of the real estate holdings of the Bosher Family Partnership as of December 31, 2010:

1. Parcel #10-11-23-0000-0030-0000 located in Palatka, Florida.
2. Two residential lots in Edenton, North Carolina.
3. 76.00 acres of land in Chowan County, North Carolina.
4. 107.00 acres of land in Elizabeth City, North Carolina.
5. 26 acres of land in Elizabeth City, North Carolina.



Carolyn B. Maloney  
2332 Rayburn House Office Building  
Washington, D.C. 20515

Schedule 3

ATTACHMENT TO SCHEDULE III, PAGES 3 OF 8  
FINANCIAL DISCLOSURE STATEMENT  
FOR THE YEAR DECEMBER 31, 2010

SEA BAY DEVELOPMENT CORP.

Sea Bay Development Corp as noted on Schedule III, page 3 of the 2010 financial disclosure represents a family closely held S-corporation located in Virginia Beach, Virginia. The corporation invests in rental real estate both commercial and residential and land for future development. All of the properties are located in Virginia Beach and Norfolk, Virginia.

Carolyn B. Maloney  
2332 Rayburn House Office Building  
Washington, D. C. 20515

Schedule 4

ATTACHMENT TO SCHEDULE III, PAGE 4 OF 8  
FINANCIAL DISCLOSURE STATEMENT  
FOR THE YEAR DECEMBER 31, 2010

ALBEMARLE PLANTATION LLC

Albemarle Plantation LLC was formed to hold the family's 25% partnership interest in HPB Enterprises T/A Albemarle Plantation, a real estate development company located in Hertford, North Carolina.

Carolyn B. Maloney  
2332 Rayburn House Office Building  
Washington, D. C. 20515

Schedule 5

ATTACHMENT TO SCHEDULE III, PAGE 3 OF 8  
FINANCIAL DISCLOSURE STATEMENT  
FOR THE YEAR DECEMBER 31, 2010

BOSHER FAMILY LLC

Bosher Family LLC was formed to hold the family's 75% partnership interest in HPB Enterprises T/A Albemarle Plantation, a real estate development company located in Hertford, North Carolina.

Carolyn B. Maloney  
2332 Rayburn House Office Building  
Washington, D. C. 20515

Schedule 6

ATTACHMENT TO SCHEDULE III, PAGE 4 OF 8  
FINANCIAL DISCLOSURE STATEMENT  
FOR THE YEAR DECEMBER 31, 2010

JEFFERSON INVESTORS, LLC

Jefferson Investors, LLC was formed to hold various rental properties located in Virginia Beach, Virginia. The properties were acquired from Sea Bay Development Corp. The entity invests in land and commercial rentals in Virginia Beach, Virginia as follows:

	2010
	<u>Tax Assessed Value</u>
West Neck Acreage --	
Parcel A	\$215,400
Parcel B	136,800
Parcel C	354,000
House and lot Baltic Avenue	281,500
Commercial Lot 18 <sup>th</sup> St.	333,400
Multi Family Buildings 33 <sup>rd</sup> St.	1,373,300
56 St. Duplexes and lot	1,668,000
Norfolk Ave. Houses	486,200
Total	<u>\$4,848,600</u>
Ownership percentage	22.50%
Total Ownership Value	<u>\$1,090,935</u>

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**
**FORM A** Page 1 of 8  
 For use by Members, officers, and employees

2011 MAY 13 PM 12:40

 OFFICE OF THE CLERK  
 U.S. HOUSE OF REPRESENTATIVES  
**HAND DELIVERED**

Charles B. Rangel

(202)225-4365

(Full Name)

(Daytime Telephone)

(Office Use Only) *MC*Filer  
Status
☒ Member of the U.S.  
House of Representative

 State: NY  
 District: 15
☐ Officer Or  
Employee

Employing Office:

**A \$200 penalty shall  
be assessed against  
anyone who files  
more than 30 days  
late.**
Report  
Type
☒ Annual (May 15)
 ☐ Amendment
☐ Termination

Termination Date:

**PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<b>I.</b> Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule I.	<b>VI.</b> Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VI.
<b>II.</b> Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule II.	<b>VII.</b> Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VII.
<b>III.</b> Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule III.	<b>VIII.</b> Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule VIII.
<b>IV.</b> Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule IV.	<b>IX.</b> Did you have any reportable agreement or arrangement with an outside entity? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IX.
<b>V.</b> Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule V.	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<b>Trusts-</b>	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions-</b>	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

Name Charles B. Rangel

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
Congressional Federal Credit Union	IRA Distribution	\$1,471

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Charles B. Rangel

Page 3 of 8

BLOCK A <b>Asset and/or Income Source</b>	BLOCK B <b>Year-End Value of Asset</b>	BLOCK C <b>Type of Income</b>	BLOCK D <b>Amount of Income</b>	BLOCK E <b>Transaction</b>
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or</p>	<p>at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."</p>	<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p>	<p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
74 West 132nd Street NY, NY 10037	None	RENT	\$201 - \$1,000	
Alliance Municipal Inc. Fd. New York Port	\$50,001 - \$100,000	DIVIDENDS	\$2,501 - \$5,000	
Blackrock Muni Enhanced	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
Capital One Checking (former North Fork Bank)	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
Congressional Federal Credit Union	\$100,001 - \$250,000	INTEREST/DIVID ENDS	\$2,501 - \$5,000	
Empty Lots, Glassboro, New Jersey (tax assessment \$3,000)	\$1,001 - \$15,000	NONE	NONE	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Charles B. Rangel

Page 4 of 8

ING Index Plus Large Cap Class B (former Princ. Prot.)	None	DIVIDENDS	\$201 - \$1,000	S
Ishares Barclays 1-3 Yr. Treasury Index Fund	\$15,001 - \$50,000	None	NONE	P
Ishares Barclays Tips BO Protected Secs FD	\$50,001 - \$100,000	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	S(part)
Merrill Lynch Cash & Money Accts	\$15,001 - \$50,000	INTEREST	\$5,001 - \$15,000	
Nuveen Muni Value	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Nuveen NY Investment Qual. Muni	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Nuveen NY Preferred PLS Muni	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Nuveen Select Qualified Muni	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Nuveen Select Tax Free CL P	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
PepsiCo, Inc.	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
Pimco GNMA Fd. CL P (formerly A)	\$100,001 - \$250,000	DIVIDENDS/DISTRIBUTIONS/CAPITAL GAINS	\$15,001 - \$50,000	S(part)
Pimco Total Return Fd. CI P (formerly A)	\$250,001 - \$500,000	DIVIDENDS/DISTRIBUTIONS	\$15,001 - \$50,000	
Punta Cana Beach Villa, Punta Cana, Dominican Republic (March 1987 - \$82,750 + Improvements)	None	RENT/CAPITAL GAINS	\$100,001 - \$1,000,000	S



**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Charles B. Rangel

Page 5 of 8

Punta Cana Sale Proceeds	\$100,001 - \$250,000	None	NONE	
Rochester Municipal Fund Class C	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500	
Yum! Brands	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	

# SCHEDULE IV - TRANSACTIONS

Name Charles B. Rangel

Page 6 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Blackrock Muni Enhanced	P	N/A	11-5-10	\$15,001 - \$50,000
	ING Index Plus Large Cap Class B	S	No	11-4-10	\$15,001 - \$50,000
	Ishares Barclays 1-3 Yr. Treasury Index Fund	P	N/A	11-5-10	\$15,001 - \$50,000
	Ishares Barclays Tips BO Protected Secs FD	S(part)	Yes	11-5-10	\$15,001 - \$50,000
	Nuveen Muni Value	P	N/A	11-5-10	\$15,001 - \$50,000
	Nuveen NY Investment Qual. Muni	P	N/A	11-5-10	\$1,001 - \$15,000
	Nuveen NY Preferred PLS Muni	P	N/A	11-5-10	\$15,001 - \$50,000
	Nuveen Select Qualified Muni	P	N/A	11-5-10	\$15,001 - \$50,000
	Nuveen Select Tax Free CL P	P	N/A	11-5-10	\$1,001 - \$15,000
	Pimco GNMA Fd. CI P	S(part)	Yes	11-4-10	\$15,001 - \$50,000
	Punta Cana Beach Villa, Punta Cana, Dominican Republic	S	Yes	12-31-10	\$250,001 - \$500,000

# SCHEDULE VIII - POSITIONS

Name Charles B. Rangel

Page 7 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member of the Board	The Kheel Foundation
Ex Officio Member of the Board	New York City Empowerment Zone

**FOOTNOTES**

Name Charles B. Rangel

Page 8 of 8

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III, IV	Punta Cana Beach Villa was sold on 12-29-10. \$100,001 - \$250,000 proceeds in transit.	Punta Cana Beach Villa
2	Schedule III	Collection of past due rent.	74 West 132nd Street NY, NY 10037

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

**FORM A** Page 1 of 3  
For use by Members, officers, and employees

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Jose E. Serrano  
(Full Name)

202-225-4361  
(Daytime Telephone)

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(Office Use Only)

**Filer Status**

☒ Member of the U.S. House of Representatives  
State: NY District: 16

☐ Officer Or Employee

Employing Office:

**Report Type**

☒ Annual (May 15) ☐ Amendment ☐ Termination

Termination Date:

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<b>I.</b> Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule I.	<b>VI.</b> Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VI.
<b>II.</b> Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule II.	<b>VII.</b> Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VII.
<b>III.</b> Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule III.	<b>VIII.</b> Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VIII.
<b>IV.</b> Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IV.	<b>IX.</b> Did you have any reportable agreement or arrangement with an outside entity? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IX.
<b>V.</b> Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule V.	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<b>Trusts--</b>	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions--</b>	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

Name Jose E. Serrano

Page 2 of 3

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
NYS Employee Retirement System	Pension	\$14,000

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jose E. Serrano

Page 3 of 3

BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
<b>Asset and/or Income Source</b> Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.  Provide complete names of stocks and mutual funds (do not use ticker symbols.)  For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.  For rental or other real property held for investment, provide a complete address.  For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.  Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or	<b>Year-End Value of Asset</b> at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	<b>Type of Income</b> Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	<b>Amount of Income</b> For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	<b>Transaction</b> Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
Wright Patman Cogressional Federal Credit Union	\$15,001 - \$50,000	INTEREST	\$1 - \$200	other

<b>UNITED STATES HOUSE OF REPRESENTATIVES</b> <b>CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT</b>	<b>FORM A</b> <span style="float: right;">Page 0 of 4</span> For use by Members, officers, and employees
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 U.S. HOUSE OF REPRESENTATIVES

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Eliot L. Engel (Full Name)	2022252464 (Daytime Telephone)
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<b>Filer Status</b>	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives State: <u>NY</u> District: <u>17</u>	<input type="checkbox"/> Officer Or Employee	Employing Office: _____ Termination Date: _____
<b>Report Type</b>	<input checked="" type="checkbox"/> Annual (May 15)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

**PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule I.	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VI.
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule II.	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule VII.
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule III.	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VIII.
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IV.	IX. Did you have any reportable agreement or arrangement with an outside entity? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IX.
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule V.	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS**

<b>Trusts--</b>	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions--</b>	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>



**SCHEDULE I - EARNED INCOME**

Name Eliot L. Engel	Page 2 of 4
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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
United States Department of Agriculture	Spouse Salary	N/A

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Eliot L. Engel

Page 3 of 4

<p><b>BLOCK A</b></p> <p><b>Asset and/or Income Source</b></p> <p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or</p>	<p><b>BLOCK B</b></p> <p><b>Year-End Value of Asset</b></p> <p>at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."</p>	<p><b>BLOCK C</b></p> <p><b>Type of Income</b></p> <p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p>	<p><b>BLOCK D</b></p> <p><b>Amount of Income</b></p> <p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p>	<p><b>BLOCK E</b></p> <p><b>Transaction</b></p> <p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
Congressional Federal Credit Union	\$15,001 - \$50,000	INTEREST	\$1 - \$200	
ENJ Realty, LLC Bronx, NY (24% ownership)	\$250,001 - \$500,000	None	NONE	
Israeli Bonds	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
State of New York	\$1,001 - \$15,000	Other: (Retirement Pension)	NONE	
US Bonds	\$1,001 - \$15,000	INTEREST	\$1 - \$200	

**SCHEDULE V - LIABILITIES**

Name Eliot L. Engel

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	Congressional Federal Credit Union	2010	Visa Credit Card	\$15,001 - \$50,000

**SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS**

Name Eliot L. Engel

Page 4 of 4

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
Alpha Epsilon Pi Fraternity	Aug. 4-5	DC-New Orleans-DC	Y	Y	Y	None

<b>UNITED STATES HOUSE OF REPRESENTATIVES</b> <b>CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT</b>	<b>FORM A</b> <span style="float: right;">Page 1 of 8</span> For use by Members, officers, and employees
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<b>NITA M. LOWEY</b> (Full Name)		<b>202-225-8506</b> (Daytime Telephone)	<b>(Office Use Only)</b>  <b>A \$200 penalty shall be assessed against anyone who files more than 30 days late.</b>
<b>Filer Status</b>	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives State: <u>NY</u> District: <u>18</u>	<input type="checkbox"/> Officer Or Employee Employing Office: _____	
<b>Report Type</b>	<input checked="" type="checkbox"/> Annual (May 15)	<input type="checkbox"/> Amendment	
<input type="checkbox"/> Termination			Termination Date: _____

**PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS**

<b>I.</b> Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule I.	<b>VI.</b> Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VI.
<b>II.</b> Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule II.	<b>VII.</b> Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VII.
<b>III.</b> Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule III.	<b>VIII.</b> Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VIII.
<b>IV.</b> Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule IV.	<b>IX.</b> Did you have any reportable agreement or arrangement with an outside entity? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IX.
<b>V.</b> Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule V.	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS**

<b>Trusts–</b>	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions–</b>	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

Name NITA M. LOWEY

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
Lowey Dannenberg Cohen & Hart, P.C.	Spouse Earned Income	N/A
NY State & Local Employees Retirement System	Filer's pension (for employment prior to current House of Representatives membership)	\$10,172.76

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name NITA M. LOWEY

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BLOCK A		BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source		Year-End Value of Asset	Type of Income	Amount of Income	Transaction
Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.  Provide complete names of stocks and mutual funds (do not use ticker symbols.)  For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.  For rental or other real property held for investment, provide a complete address.  For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.  Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any charitable deduction; SE 529 or 528 in a non-reportable situation; and		at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
SP	3M Co	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
SP	Arbiter Partners (not self directed) - Hedge Fund	\$1,000,001 - \$5,000,000	DIVIDENDS/ CAPITAL GAINS	\$100,001 - \$1,000,000	
SP	Avatar Holdings	\$1,001 - \$15,000	NONE	NONE	
SP	Brownstone Catalyst Fund - IRA	\$1,000,001 - \$5,000,000	CAPITAL GAINS/INTERES T/DIVIDENDS	\$50,001 - \$100,000	
SP	Cadigan Partners (see footnote)	\$250,001 - \$500,000	None	NONE	
JT	Chase Bank (checking)	\$1,001 - \$15,000	Interest	\$201 - \$1,000	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name NITA M. LOWEY

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SP	Cisco Systems	\$15,001 - \$50,000	NONE	NONE	P
JT	Citibank Checking and Savings	\$1,000,001 - \$5,000,000	INTEREST	\$201 - \$1,000	
SP	Diker Micro-Value Fund	\$250,001 - \$500,000	CAPITAL GAINS/DIVIDENDS/INTEREST	\$2,501 - \$5,000	
SP	Federated/ Kaufmann Mutual Fund - IRA	\$1,000,001 - \$5,000,000	DIVIDENDS/CAPITAL GAINS	\$100,001 - \$1,000,000	
JT	Fidelity Money Market Fund	\$1,000,001 - \$5,000,000	INTEREST/DIVIDENDS	\$5,001 - \$15,000	
JT	Glickenhause & Co.	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
JT	Glickenhause & Co. - Triad Fund	\$1,000,001 - \$5,000,000	INTEREST/DIVIDENDS/CAPITAL GAINS	\$50,001 - \$100,000	
SP	Helmerich & Payne	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	
SP	Ingalls & Snyder Value Fund	\$1,000,001 - \$5,000,000	Interest/Capital gains	\$100,001 - \$1,000,000	
SP	Johnson & Johnson	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	
SP	Lowey Dannenberg Bemporad & Selinger Profit Sharing Plan	\$1,000,001 - \$5,000,000	NONE	NONE	
SP	Lowey Dannenberg Cohen & Hart, PC - Ownership interest in law firm	\$1,000,001 - \$5,000,000	See Schedule I	N/A	
SP	Lowey Family Investment LLC (see footnote)	\$1,000,001 - \$5,000,000	Capital Gains	\$100,001 - \$1,000,000	



**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name NITA M. LOWEY

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SP	M.D. Sass/Macquarie Financial Strategies - Private Equity Fund	\$500,001 - \$1,000,000	CAPITAL GAINS	\$15,001 - \$50,000	
SP	Market Vectors ETF TR Gold Miners ETF Fd	\$50,001 - \$100,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000	
SP	Microsoft Corp.	\$15,001 - \$50,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000	P
SP	MMI Investments/ Millcap Advisors (not self directed) - Hedge Fund	\$1,000,001 - \$5,000,000	INTEREST/DIVID ENDS/CAPITAL GAINS	\$5,001 - \$15,000	
SP	New Silk Route Fund - Private Equity Fund	\$250,001 - \$500,000	CAPITAL GAINS	\$1,001 - \$2,500	
SP	Newmont Mining	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	
SP	NY Muni Cash Fund* - see footnote	None	INTEREST	\$1 - \$200	S
	NYS Def. Compensation Plan/401K - Not self-directed	\$50,001 - \$100,000	DIVIDENDS/INTE REST	\$15,001 - \$50,000	
	Oppenheimer & Close IRA (see attachment)	\$100,001 - \$250,000	N/A	N/A	
	Oppenheimer & Close Limited Partnership (not self directed) - Hedge Fund (see footnote)	\$500,001 - \$1,000,000	CAPITAL GAINS/INTERES T/DIVIDENDS	\$50,001 - \$100,000	
	Oppenheimer & Spence Investment Pp. (not self directed) - Hedge Fund (see footnote)	\$500,001 - \$1,000,000	Dividends/Capital Gains/INTEREST	\$50,001 - \$100,000	
	P. Oppenheimer Investment Pp. (not self directed) - Hedge Fund (see footnote)	\$1,000,001 - \$5,000,000	Dividends/Capital Gains/INTEREST	\$50,001 - \$100,000	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name NITA M. LOWEY

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SP	Pequot Partners Fund (not self directed) - Hedge Fund (see footnote)	\$50,001 - \$100,000	NONE	NONE	
SP	Pfizer	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	
SP	Santa Monica Ptnrs (not self directed) - Hedge Fund	\$500,001 - \$1,000,000	INTEREST/DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	
SP	Schelcher-Prince	\$250,001 - \$500,000	INTEREST	\$2,501 - \$5,000	
SP	Seacor Holdings	\$15,001 - \$50,000	CAPITAL GAINS	\$15,001 - \$50,000	S(part)
SP	Superior Industries	\$1,001 - \$15,000	CAPITAL GAINS/DIVIDENDS	\$201 - \$1,000	
SP	United States Treasury Bills (see footnote)	None	INTEREST	\$723.33	

**SCHEDULE IV - TRANSACTIONS**

Name NITA M. LOWEY

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	Cisco Systems	P	N/A	12-14-10	\$15,001 - \$50,000
SP	Microsoft Corp.	P	N/A	5-21-10	\$15,001 - \$50,000
SP	NY Muni Cash Fund (see footnote)	S	No	1/1/10	N/A
SP	Seacor Holdings	S(part)	Yes	10/8/10	\$15,001 - \$50,000

**FOOTNOTES**

Name NITA M. LOWEY

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Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	The Treasury Bill was not sold, it matured, and therefore is gone from the account. It was purchased for \$199,276.67, matured at \$200,000, so the LT gain was \$723.33. There were no other Treasury Bills in the account.	United States Treasury Bills (see footnote)
2	Schedule III	NY Muni Cash Fund - Removing from report because should not be listed separately - included in other positions held in Oppenheimer & Close account.	NY Muni Cash Fund* - see footnote
3	Schedule III	SP owns an interest in Lowey Family Investment LLC, which is invested in Brownstone Investment Group LLC, a privately owned broker-dealer firm.	Lowey Family Investment LLC - see footnote
4	Schedule III	Oppenheimer & Close Limited Partnership (not self directed) - Hedge Fund was owned by SP, ownership was transferred to Member in 2010	Oppenheimer & Close Limited Partnership
5	Schedule III	Oppenheimer & Spence Investment Partnership (not self directed) - Hedge Fund was owned by SP, ownership was transferred to Member in 2010	Oppenheimer & Spence Investment Partnership
6	Schedule III	Partial Sale in 2009 - 5% of original investment remaining	Pequot Partners Fund
7	Schedule III	Cadigan Partners is a private equity firm located in New York, New York, formed by Pericles Navab and David Luttway. When it was formed, SP loaned the firm \$500,000. Repayment of that amount is expected by year end 2011.	Cadigan Partners



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## Individual Retirement Account Statement

Account Number: [REDACTED]

Statement Period: 12/01/2010 - 12/31/2010

### Valuation at a Glance

	This Period	Year-to-Date
Beginning Account Value	\$171,020.54	\$163,744.48
Net Securities In/Out of Account	0.00	7,276.00
Adjusted Previous Account Value	171,020.54	171,020.48
Dividends, Interest and Other Income	0.01	0.97
Ending Account Value	\$171,020.55	\$171,020.55
Estimated Annual Income	\$0.07	

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CARL K. OPPENHEIMER

### Asset Allocation

	Last Period	This Period	% Allocation
Cash, Money Funds, and FDIC Deposits <sup>1</sup>	40.54	40.55	1%
Alternative Investments	170,980.00	170,980.00	99%
Account Total	\$171,020.54	\$171,020.55	100%

Asset Allocation percentages are rounded to the nearest whole percentage.

<sup>1</sup> Includes FDIC insured bank deposits. FDIC insured bank deposits are not securities, are not held by Pershing LLC, and are not covered by the Securities Investor Protection Corporation. These bank deposits are covered by the Federal Deposit Insurance Corporation, up to allowable limits.

See page 2 of this statement for important information regarding the Asset Allocation section.



## Asset Allocation Disclosure and Footnotes

**NOTE:** Unpriced securities in your account may cause the total brokerage account assets to be understated.

## Required Minimum Distribution Summary

	Calculated Amount
Prior Year-end Fair Market Value ("FMV"):	\$163,744.48
Calculation Factor:	24.7
Participant DOB: 07/1937 Beneficiary DOB: 00/0000	
Beneficiary Relationship: NON-PERSON	
Amount Required to be Withdrawn for 2010:	\$6,629.33
Amount Withdrawn Year to Date:	\$0.00
The Remaining Amount You Are Required to Withdraw for 2010:	\$6,629.33

### Disclaimers and Other Important Information Regarding Your Required Minimum Distribution Summary

According to our records, you are required under federal tax law to take an annual minimum distribution from your retirement account. These required minimum distributions (RMDs) usually begin in the year you reach the age of 70 1/2. Failure to take the RMD when required may result in a 50% excise tax imposed on the amount you did not take.

You are allowed to take your RMD in cash or securities. For a distribution to be made, sufficient cash or securities must be available in your retirement account when we receive your distribution request and for subsequent distributions. If you changed your beneficiary after January 1 of this year and your new or prior beneficiary is your spouse who is more than ten years younger than you, you may need to recalculate the RMD amount stated above.

If you have more than one traditional individual retirement account (IRA), including SEP and SIMPLE IRAs, the RMD for these accounts can be aggregated and removed from a single traditional IRA. This exception does not apply to multiple qualified retirement plans (QRPs) such as profit sharing, money purchase pension, 401(k), and defined benefit plans. RMDs for QRPs must be removed from each QRP account.

**NOTE:** Any outstanding rollovers or recharacterizations that were not in your account on December 31 of the prior year should be added to your year-end fair market value for the previous year to calculate your RMD for the current year. Also, when taking your RMD, please consider any scheduled distribution amounts you have established which may allow you to automatically meet all or part of your RMD. Please contact us if you are interested in establishing instructions.

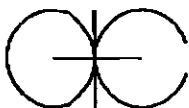
Using the information on our files, your RMD was determined by dividing your fair market value by a calculation factor determined by the Internal Revenue Service (IRS). The factor is based on your age at the end of the year and the age and relationship of your beneficiary(ies). We strongly suggest that you verify this calculation with your tax professional, as there may be other pertinent information that could impact your RMD amount. To withdraw your RMD, contact your investment professional for the appropriate withdrawal form.

## Customer Service Information

Identification Number: 277	Contact Information
CARL K. OPPENHEIMER	E-Mail Address: office@oppvest.com
Prior Year-End Fair Market Value: \$163,744.48 will be furnished to the Internal Revenue Service.	Date of Birth: [REDACTED]

**Note:** Please verify the accuracy of your personal information. If incorrect, notify your financial organization. (If applicable).





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## Individual Retirement Account Statement

Statement Period: 12/01/2010 - 12/31/2010

### Income and Expense Summary

	Current Period Tax Deferred	Year-to-Date Tax Deferred
Interest Income		
FDIC Insured Bank Deposits	0.01	0.07
<b>Total Dividends, Interest, Income and Expenses</b>	<b>\$0.01</b>	<b>\$0.07</b>

### Transactions by Type of Activity

Process/ Settlement	Trade/ Transaction	Date	Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	CCY
<b>Dividends and Interest</b>										
12/16/10	12/15/10	FDIC INSURED BANK DEPOSITS INTEREST RECEIVED			DREYFUS INSURED INTEREST CREDITED				0.01	USD
<b>Total Dividends and Interest - UNITED STATES DOLLAR</b>								<b>0.00</b>	<b>0.01</b>	
<b>FDIC Insured Bank Deposits</b>										
12/16/10	12/15/10	FDIC INSURED BANK DEPOSITS INTEREST REINVESTED			DREYFUS INSURED INTEREST REINVESTED				-0.01	USD
<b>Total FDIC Insured Bank Deposits - UNITED STATES DOLLAR</b>								<b>0.00</b>	<b>-0.01</b>	
<b>Total Value of All Transactions</b>								<b>0.00</b>	<b>0.00</b>	

The price and quantity displayed may have been rounded.

### Portfolio Holdings

Quantity	Description	Opening Balance	Closing Balance	Accrued Income	Income This Year	30-day Yield
<b>Cash, Money Funds, and FDIC Deposits 1.00% of Portfolio</b>						
<b>FDIC Insured Bank Deposits</b>						
40.550	DREYFUS INS DEPOSIT PROGRAM I	40.54	40.55	0.00	0.07	N/A
<b>Total FDIC Insured Bank Deposits</b>		<b>\$40.54</b>	<b>\$40.55</b>	<b>\$0.00</b>	<b>\$0.07</b>	
<b>Total Cash, Money Funds, and FDIC Deposits</b>		<b>\$40.54</b>	<b>\$40.55</b>	<b>\$0.00</b>	<b>\$0.07</b>	

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## Portfolio Holdings (continued)

Quantity	Description	Market Price	Estimated Value
<b>Alternative Investments 99.00% of Portfolio</b>			
170,981.000	OPPENHEIMER CLOSE INVESTMENT PARTNERSHIP LIMITED PARTNERSHIP Valuation Date: 12/28/10 Valuation Code: B, V, C Security Identifier: 683993992	N/A	170,980.00
<b>Total Alternative Investments</b>			<b>\$170,980.00</b>

## Valuation Codes:

B = This is an estimate of the value of the security.

C = The source of this information is the management of the program.

V = Value indicated reflects derived unit value to accommodate estimated unit value greater than \$9,999.99, or unique estimated value. Please contact your investment professional or financial organization for additional information.

Description	Market Value	Assumed Interest	Estimated Annual Income
<b>Total Portfolio Holdings</b>	<b>\$171,020.55</b>	<b>\$0.00</b>	<b>\$0.07</b>

The estimated values, where indicated of Alternative Investments, including limited partnerships, real estate investment trusts (REITs), direct participation programs (DPPs), hedge funds, fund of funds, private equity, real estate and managed future have been provided by the management of the Alternative Investment, generally through an intermediary. The values are not guaranteed, provided for informational purposes only and are intended to reflect an estimate of the interest in the Alternative Investment represented by the units or shares described above. Alternative Investment securities are generally illiquid, and the value may not be realized when you seek to liquidate the security. Please note the estimated values for Alternative Investments, which are provided by the management of the Alternative Investment, may not reflect recent activity or current values and do not reflect an independent evaluation of the Alternative Investment.

Where no value is indicated, please note that:

- Alternative Investment securities are generally illiquid
- The value of the security may be different from its purchase price
- Accurate valuation information is not available

## Disclosures and Other Information

**Pricing** - Securities prices may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. Prices are received from various pricing services. However, pricing services are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt securities, estimated prices may be generated by a matrix system taking various factors into consideration. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, such securities have not been included in the Asset Allocation information at the beginning of this statement.

The Estimated Price as of Date only appears when the price date does not equal the statement date.

**Reinvestment** - The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your Statement may have been reinvested. You will not receive confirmation of these reinvestments. However, information pertaining to these transactions which would otherwise appear on confirmations, including the time of execution and the name of the person from whom your security was purchased, will be furnished to you upon written request to your introducing firm. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow, the source and nature of which payment will be furnished to you upon written request to your introducing firm.

**Option Disclosure** - Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A

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## Individual Retirement Account Statement

Statement Period: 12/01/2010 - 12/31/2010

### Portfolio Holdings (continued)

Summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

**Foreign Currency Transactions** - Pershing may execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

**Proxy Vote** - Securities held by you on margin (securities not fully paid for by you) may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin will be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

### FDIC Insured Bank Deposits

Date	Activity Type	Description	Amount	Balance
<b>Sweep FDIC Insured Bank Deposits</b>				
<b>DREYFUS INS DEPOSIT PROGRAM I</b>				
Account Number: 5G1021823 Activity Ending: 12/31/10				
12/01/10	Opening Balance		40.54	40.54
12/15/10	Deposit	INTEREST CREDITED	0.01	40.55
12/15/10		Capital One Bank(USA)		40.55
12/15/11		a/o 12/15 \$40.55		40.55
12/15/11		YIELD 0.30%		40.55
12/31/10	Closing Balance			\$40.55
<b>Total FDIC Insured Bank Deposits</b>				<b>\$40.55</b>

The FDIC Insured Bank Deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). The Bank Deposits at each bank are insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 for each category of legal ownership including individual retirement accounts and certain other self directed retirement accounts and up to \$500,000 for joint accounts. Please review this in connection with other deposits you may have at each respective bank.

### Messages

**Note from Pershing LLC regarding estimated values on brokerage account statements**

Pershing relies on external valuation vendors for estimated, periodic valuation and market price information that is included in your brokerage account statement. From time to time, this information is not available or is not received in time for posting to your brokerage account statement, resulting in a valuation or market price of N/A or Not Available. Please contact your investment professional for current information.

Page 5 of 7



## Messages (continued)

regarding your investments and account statement.

For owners of auction rate securities, please note that many auction rate securities have become illiquid due to current market conditions. As a result, it may not be possible to sell such securities at or near the estimated market price that is listed on your brokerage account statement.

Do not forget to make your annual contribution to your Traditional or Roth IRA for 2010, if you are eligible. Contributions for the 2010 tax year must be made by the April 15, 2011, deadline. The maximum contribution limit is \$5,000 for 2010. Individuals aged 50 or older may also make an additional catch-up contribution of \$1,000. When making your annual contribution, please indicate in writing the tax year for which the contribution should be applied.

In accordance with federal regulations, individual retirement account (IRA) participants, with the exception of Roth IRAs, who are the age of 70 1/2 or older must take their required minimum distribution (RMD) for the year in which they reach age 70 1/2 and each calendar year thereafter. RMD amounts must be distributed by December 31 of each year except for IRA participants who turn 70 1/2 during the current year. These participants may delay their current year RMD until April 1 of the following year. Beginning in January, your RMD information will be included in your IRA account statement. Should you need to have your current year RMD amount calculated prior to receiving this information, please contact your investment professional or financial organization for assistance with your calculation request. With the exception of inherited IRAs, we will inform the Internal Revenue Service (IRS) of all IRA participants who are required to take an RMD from their IRA.

### Disclosure Regarding Securities Lending in Margin Accounts

If you have a margin account, pursuant to your Margin Agreement with Pershing LLC and as permitted by law, margin securities in your account, may be used for, among other things, settling short sales and lending the securities for short sales. As a result, Pershing and your financial organization may receive compensation in connection therewith. Further, Pershing does not lend fully-paid-for securities without your written permission. Please contact your financial organization if you have any questions.

Contrary to the practice of many firms, Oppenheimer + Close, Inc. does not accept or receive payment for order flow. We constantly strive, as your agent, to obtain the best execution available for you, our client.

Upon written request to Oppenheimer + Close, Inc. you may obtain the identity of the venue to which your orders were routed for the six months prior to your request and the time of transactions that may have resulted from such orders.

A copy of our Form ADV Part 2 is available to our investment advisory clients upon written request.



## TERMS AND CONDITIONS

member firm fails financially and is unable to meet obligations to securities clients, but it does not perfect against losses from the rise and fall in the market value of investments.

14. Pershing may trade for its own account as a market maker, specialist, odd lot dealer, block positioner, arbitrageur or investor. Consequently, at the time of any transaction you may make, Pershing may have a position in such securities, which position may be partially or completely hedged.
15. If average price transaction is indicated on the front of this statement your financial institution or Pershing may have acted as principal, agent or both. Details available upon request.
16. This statement will be deemed conclusive and an account stated unless you advise Pershing in writing of any objection to it within ten days after receipt. Any such objection should be sent to Pershing at One Pershing Place, Jersey City, NJ 07399, Attn: Compliance.
17. You are advised to report promptly any inaccuracy or discrepancy in your account (including unauthorized trading) to your financial organization and Pershing, the custodian of your account. Please be advised that any oral communication should be reconfirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act. Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department; One Pershing Place, Jersey City, New Jersey 07399; (201) 413-3330. ERRORS AND OMISSIONS EXCEPTED.

### PORTFOLIO HOLOGRAM

This section includes the net market value of the securities in your account on a statement date basis, including short positions, at the close of the statement period. The market prices have been obtained from quotation services, which we believe to be reliable; however, we cannot guarantee their accuracy. Securities for which a price is not available are marked "N/A" and are omitted from the total.

The estimated annual income (EAI) and estimated current yield (ECY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable, however, no assurance can be made as to the accuracy. Stock interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions; they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/business](http://www.pershing.com/business), cordlessly held for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### THE ROLE OF PERSHING

Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept, from your financial institution without inquiry or investigation, (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.

Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes. Inquiries concerning the positions and balances in your account may only be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account.

Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those

transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.

Pershing may capture and store data about you such as your financial information and investment objectives. However, Pershing is not reviewing this information and determining whether your investment objectives are consistent with your financial status and objectives and you hereby release Pershing from any liability to do so. Similarly, Pershing may capture and store information about whether a broker or introducing firm is registered in a given state. You hereby release Pershing from any liability to review this data or to evaluate whether a particular security is registered or exempt from registration in your state.

This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.

### PAYMENT FOR ORDER FLOW PRACTICES

The following statement is provided to you as required by Rule 11aC1-3 of the Securities Exchange Act of 1934.

Pershing sends certain equity orders to exchanges, Electronic Communication Networks, or broker-dealers during normal business hours and during extended trading sessions. Certain of these venues provide payments to Pershing or charge access fees to Pershing depending upon the characteristics of the order and any subsequent execution. In addition, Pershing may execute certain equity orders as principal. The details of these payments and fees are available upon written request. Pershing receives payments for directing listed options order flow to certain option exchanges. Compensation is generally in the form of a per option contract cash payment. For a listing of organizations that pay Pershing for order flow, please refer to [www.orderflowdisclosure.com](http://www.orderflowdisclosure.com).

**Best Execution:** Notwithstanding the previous paragraph regarding payment for order flow, Pershing selects certain market centers to provide execution of over-the-counter and exchange-listed securities transactions which agree to accept orders, transmitted electronically up to a specified size, and to execute them at or better than the national best bid or offer (NBBO). On certain larger orders, or if the designated market centers do not make a market in the subject security, Pershing directly contacts market centers to obtain an execution. The designated market centers to which orders are automatically routed are selected based on the consistent high quality of their executions in one or more market segments and their ability to provide opportunities for executions at prices superior to the NBBO. If an order for an exchange-listed security is not immediately executable on the exchange in which it is routed, such order may be represented in the national marketplace using the various means available for price discovery. Pershing also regularly reviews reports for quality of execution purposes.

### IMPORTANT ARBITRATION DISCLOSURES

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court review or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reasons for their award.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### IMPORTANT ARBITRATION AGREEMENT

Any controversy between you and us shall be submitted to arbitration before the financial industry regulatory authority or any other national securities exchange on which a transaction giving rise to the claim took place (and only before such exchange).

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any putative or certified arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

### GENERAL INFORMATION

1. All orders and transactions shall be solely for your account and risk shall be subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market and the clearing facility, if any, where the transactions are executed and/or settled, or if applicable, of the Financial Industry Regulatory Authority and to all applicable laws and regulations.
2. Whenever you are indebted to Pershing LLC ("Pershing") for any amount, all securities held by you in any account in which you have any interest shall secure all your liabilities to Pershing, and Pershing may in its discretion at any time, without notice, demand or notice to you, close or reduce any or all of your accounts by public or private sale or otherwise or both of all or any securities carried in such accounts; any balance remaining due Pershing to be promptly paid by you.
3. Whenever you are indebted to Pershing for any amount, all securities carried for your account or may be, without further notice to you, barred or pledged by Pershing, either separately or under circumstances which will permit the covering thereof, with other securities for any amount less than, equal to or greater than your liabilities to Pershing, but not under circumstances for an amount prohibited by law.
4. The securities sold to you, where Pershing has acted as principal, shall remain with Pershing until the entire purchase price is received or until the settlement date, whichever is later.
5. Any uncredit balance carried for your account represents funds payable upon demand which, although properly accounted for on Pershing's books or record, are not segregated and may be used in the conduct of its business.
6. You may have received confirmations for transactions which do not appear on your statement. If so, the transactions will appear on your next periodic statement. Such transactions must be considered by you when computing the value of your account. This is especially true if you have written options which have been exercised.
7. If you maintain a margin account, this is a combined statement of your general account and a special memorandum account maintained for you under Regulation T of the Board of Governors of the Federal Reserve System. The permanent record of the separate accounts required by Regulation T is available for your inspection upon request.
8. Interest charged on debit balances in your account appears on the statement. The rate of interest and period covered are indicated. The rate may change from time to time due to fluctuations in money rates or other reasons. Interest is computed as described in materials previously furnished to you. Please contact your financial institution if you desire additional copies.
9. A financial statement of Pershing is available for your personal inspection at Pershing's offices. A copy of it will be mailed upon your written request or you can view it online at [Pershing.com](http://Pershing.com).
10. This statement should be retained for your records.
11. Dividends, interest and other distributions shown on this statement were classified as taxable or non-taxable based on certain information known as of the distribution date. This classification is subject to change and is solely intended for use as general information. After year end, Pershing is required to provide tax information to the Internal Revenue Service and other governmental authorities. At that time Pershing will provide that information on the annual tax information statement to you; use that statement to prepare your tax filings. The tax statement also includes other useful information to assist in accumulating the data to prepare your tax returns.
12. Pershing does not provide tax, investment or legal advisory services and no one associated with Pershing is authorized to render such advice. Do not rely upon any such advice. If given, investors are encouraged to consult their tax advisors to determine the appropriate tax treatment of their holdings.
13. Pershing provides account protection for the net equity of securities positions and cash held in your account. Of this total, the Securities Investor Protection Corporation (SIPC) provides \$500,000 of coverage, including \$100,000 for claims for cash. Pershing provides additional protection on terms similar to SIPC for account net equity in excess of \$500,000 through a commercial insurer. The account protection applies when a SIPC

If any of the above Terms and Conditions are unacceptable to you, please notify Pershing immediately in writing by certified mail to One Pershing Place, Jersey City, NJ 07399, Attn: Compliance.



**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

Form A  
 For use by Members, officers, and employees

Page 1 of 4

LEGISLATIVE RESOURCE CENTER

2011 MAY 11 PM 2:07

OFFICE OF THE CLERK  
 U.S. HOUSE OF REPRESENTATIVES

*MC* **HAND DELIVERED**  
 (Office Use Only)

Name: CHRISTOPHER Patrick Gibson

Daytime Telephone: 202-225-5214

Filer Status



Member of the U.S.  
 House of Representatives

State: NY  
 District: 20



Officer or  
 Employee

Employing Office: \_\_\_\_\_

Report Type



Annual (May 16, 2011)



Amendment



Termination

Termination Date: \_\_\_\_\_

**A \$200 penalty shall be assessed  
 against anyone who files more than  
 30 days late.**

**PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period?  
 If yes, complete and attach Schedule I.

Yes ☒

No ☐

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)?  
 If yes, complete and attach Schedule VI.

Yes ☐

No ☒

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?  
 If yes, complete and attach Schedule II.

Yes ☐

No ☒

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)?  
 If yes, complete and attach Schedule VII.

Yes ☐

No ☒

III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period?  
 If yes, complete and attach Schedule III.

Yes ☒

No ☐

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year?  
 If yes, complete and attach Schedule VIII.

Yes ☐

No ☒

IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period?  
 If yes, complete and attach Schedule IV.

Yes ☐

No ☒

IX. Did you have any reportable agreement or arrangement with an outside entity?  
 If yes, complete and attach Schedule IX.

Yes ☒

No ☐

V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?  
 If yes, complete and attach Schedule V.

Yes ☐

No ☒

**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**

**TRUSTS**—Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

Yes ☐

No ☒

**EXEMPTION**—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.

Yes ☐

No ☒

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

[illegible]

Name \_\_\_\_\_ Page 3 of 4

**For additional assets and unearned income, use next page.**

## SCHEDULE VIII—POSITIONS

Name *Christopher Patrick Brisson*

Page *4* of *4*

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

**Exclude:** Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization

## SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
JUNE 2007	ASHGATE PUBLISHING Company	ASHGATE PUBLISHED MY BOOK, <u>SECURING THE STATE</u> IN FEBRUARY 2008. I WAIVED ALL ROYALTIES AND HAVE MADE NO MONEY FROM IT.

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

**FORM A**

Page 1 of 5

For use by Members, officers, and employees

**HAND DELIVERED**

Paul David Tonko

202-225-5076

(Full Name)

(Daytime Telephone)

2011 MAY 13 AM 9:42

(Office Use Only)

**Filer Status**

☒ Member of the U.S. House of Representatives

State: NY  
 District: 21

☐ Officer Or Employee

Employing Office:

U.S. HOUSE OF REPRESENTATIVES

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**Report Type**

☒ Annual (May 15)

☐ Amendment

☐ Termination

Termination Date:

**PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p><b>I.</b> Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, complete and attach Schedule I.</p>	<p><b>VI.</b> Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, complete and attach Schedule VI.</p>
<p><b>II.</b> Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule II.</p>	<p><b>VII.</b> Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule VII.</p>
<p><b>III.</b> Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, complete and attach Schedule III.</p>	<p><b>VIII.</b> Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule VIII.</p>
<p><b>IV.</b> Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule IV.</p>	<p><b>IX.</b> Did you have any reportable agreement or arrangement with an outside entity? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, complete and attach Schedule IX.</p>
<p><b>V.</b> Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, complete and attach Schedule V.</p>	<p><b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b></p>

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p><b>Trusts--</b></p>	<p>Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p><b>Exemptions--</b></p>	<p>Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>



**SCHEDULE I - EARNED INCOME**

Name Paul David Tonko

Page 2 of 5

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
New York State Employees Retirement System	Retirement Pension	\$64,641.36

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Paul David Tonko

Page 3 of 5

<b>BLOCK A</b> <b>Asset and/or Income Source</b> Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.  Provide complete names of stocks and mutual funds (do not use ticker symbols.)  For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.  For rental or other real property held for investment, provide a complete address.  For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.  Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or	<b>BLOCK B</b> <b>Year-End Value of Asset</b> at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	<b>BLOCK C</b> <b>Type of Income</b> Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	<b>BLOCK D</b> <b>Amount of Income</b> For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	<b>BLOCK E</b> <b>Transaction</b> Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
Equity Club of Amsterdam	\$1,001 - \$15,000	None	NONE	

## SCHEDULE VI - GIFTS

Name Paul David Tonko

Page 4 of 5

Report the source, a brief description, and the value of all gifts totaling more than \$335 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
21st Annual Auction - Friends, Food, and Fun Gala for the Regional Food Bank of Northeastern New York	Raffle winner - Assorted dining gift cards	\$2,052

SCHEDULE IX - AGREEMENTS

Name Paul David Tonko

Page 5 of 5

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
April 2008	State of New York	Pension for New York State Employment from 1972-2008

**UNITED STATES HOUSE OF REPRESENTATIVES  
CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

**FORM A** Page 1 of 3  
For use by Members, officers, and employees

**HAND DELIVERED**

Maurice D. Hinchey  
(Full Name)

202-225-6335  
(Daytime Telephone)

2011 MAY 12 PM 5:18

OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES  
(Office Use Only)

**Filer Status**

☒ Member of the U.S. House of Representatives  
State: NY  
District: 22

☐ Officer Or Employee

Employing Office:

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**Report Type**

☒ Annual (May 15)

☐ Amendment

☐ Termination

Termination Date:

**PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<p><b>I.</b> Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule I.</p>	<p><b>VI.</b> Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VI.</p>
<p><b>II.</b> Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule II.</p>	<p><b>VII.</b> Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule VII.</p>
<p><b>III.</b> Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule III.</p>	<p><b>VIII.</b> Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VIII.</p>
<p><b>IV.</b> Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule IV.</p>	<p><b>IX.</b> Did you have any reportable agreement or arrangement with an outside entity? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule IX.</p>
<p><b>V.</b> Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule V.</p>	<p><b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b></p>

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<b>Trusts--</b>	<p>Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<b>Exemptions--</b>	<p>Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>

**SCHEDULE I - EARNED INCOME**

Name Maurice D. Hinchey

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
State of New York	Pension	\$35,800
DKC Government Affairs	Spouse Salary	N/A

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Maurice D. Hinchey

Page 3 of 8

BLOCK A		BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source		Year-End Value of Asset	Type of Income	Amount of Income	Transaction
Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.		at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period	For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
Provide complete names of stocks and mutual funds (do not use ticker symbols.)					
For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.					
For rental or other real property held for investment, provide a complete address.					
For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.					
Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan					
	Echo Hill Property, Saugerties, NY	\$100,001 - \$250,000	None	NONE	
	Partition Street Property, Saugerties, NY	\$250,001 - \$500,000	None	NONE	
	Congressional Federal Credit Union	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	Ulster Savings Bank	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
SP	ING Direct Savings	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
SP	First Eagle Global FD Class C	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	P

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Maurice D. Hinchey

Page 4 of 8

SP	First Eagle US Value Fund C	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	P
SP	Franklin Templeton Mutual Series Global Discovery Fund	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	
SP	Oppenheimer Developing Markets Fund Class C	\$1,001 - \$15,000	CAPITAL GAINS/DIVIDENDS	\$1 - \$200	P
SP	Wells Fargo Advantage Asset Allocation FD Class C (The name of this fund in 2009 was Evergreen Equity Asset Allocation Mutual Fund Class C)	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	
SP	BlackRock Mid-Cap Value Equity (IRA)	\$1,001 - \$15,000	None	NONE	
SP	BlackRock Global Allocation (IRA)	\$15,001 - \$50,000	None	NONE	
SP	BlackRock Funds Large Cap Value FD CL I (IRA)	\$1,001 - \$15,000	None	NONE	
SP	First Eagle Global Fund Class I (IRA)	\$15,001 - \$50,000	None	NONE	
SP	Goldman Sachs Growth Opportunities I (IRA)	\$1,001 - \$15,000	None	NONE	
SP	Oakmark Fund Class I (IRA)	\$1,001 - \$15,000	None	NONE	
SP	Oppenheimer Developing Markets Y (IRA)	\$1,001 - \$15,000	None	NONE	
SP	PIMCO Total Return Fund I (IRA)	\$15,001 - \$50,000	None	NONE	



**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Maurice D. Hinchey

Page 5 of 8

(Note: The eight IRA funds listed above were acquired as part of a rollover of the seven Oppenheimer accounts listed for spouse on the 2009 disclosure filing.)

# SCHEDULE IV - TRANSACTIONS

Name Maurice D. Hinchey

Page 6 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	First Eagle Global FD Class C	P	N/A	April 23, 2010	\$1,001 - \$15,000
SP	First Eagle Global FD Class C	P	N/A	July 9, 2010	\$1,001 - \$15,000
SP	First Eagle Global FD Class C	P	N/A	August 19, 2010	\$1,001 - \$15,000
SP	First Eagle US Value Fund C	P	N/A	December 13, 2010	\$1,001 - \$15,000
SP	Oppenheimer Developing Markets Fund Class C	P	N/A	December 13, 2010	\$1,001 - \$15,000
SP	Evergreen Equity Asset Allocation Mutual Fund B and C (IRA) (This also became known as Wells Fargo Asset Allocation) (Note: This did not generate at least \$200 in capital gains/dividends in 2010)	S	No	February 11, 2010	\$1,001 - \$15,000
SP	Wells Fargo Asset Allocation Class B (This was also known as Evergreen Equity Asset Allocation) (Note: This did not generate at least \$200 in capital gains/dividends in 2010)	S	No	November 11, 2010	\$1,001 - \$15,000
SP	Fidelity Advisor New Insights (IRA)	S	No	February 11, 2010	\$1,001 - \$15,000

**SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS**

Name Maurice D. Hinchey

Page 7 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
Aspen Institute	February 15-21	New York-Madrid-New York	Y	Y	N	None
Aspen Institute	April 5-11	New York-Lisbon-NY	Y	Y	Y	None
Aspen Institute	August 16- 21	Newark,NJ-Vancouver- Newark, NJ	Y	Y	N	None

## SCHEDULE IX - AGREEMENTS

Name Maurice D. Hinchey

Page 8 of 8

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
January 1993	State of New York	Pension annuity for service in State Assembly

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

**FORM A** Page 1 of 7  
For use by Members, officers, and employees

**HAND DELIVERED**

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(Office Use Only)  
OFFICE CLERK  
U.S. HOUSE OF REPRESENTATIVES

Brian M. Higgins (Full Name)		716-852-3501 (Daytime Telephone)	
<b>Filer Status</b>	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives State: <u>NY</u> District: <u>27</u>	<input type="checkbox"/> Officer Or Employee	Employing Office:
<b>Report Type</b>	<input checked="" type="checkbox"/> Annual (May 15)	<input type="checkbox"/> Amendment	Termination Date:

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule I.	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VI.
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule II.	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VII.
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule III.	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule VIII.
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IV.	IX. Did you have any reportable agreement or arrangement with an outside entity? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule IX.
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule V.	<b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b>

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS**

<b>Trusts--</b>	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions--</b>	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

Name Brian M. Higgins

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
Buffalo Board of Education	Spouse Salary	\$50,190

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Brian M. Higgins

Page 3 of 7

BLOCK A <b>Asset and/or Income Source</b> Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.  Provide complete names of stocks and mutual funds (do not use ticker symbols.)  For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.  For rental or other real property held for investment, provide a complete address.  For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A.  Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or		BLOCK B <b>Year-End Value of Asset</b> at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C <b>Type of Income</b> Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	BLOCK D <b>Amount of Income</b> For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	BLOCK E <b>Transaction</b> Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
	Congressional FCU	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	CRV Capital LLC (not self-directed)	\$15,001 - \$50,000	CAPITAL GAINS/DIVIDENDS/INTEREST	\$5,001 - \$15,000	
DC	M&T Bank	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
DC	M&T Bank	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
SP	M&T Bank	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	M&T Bank	\$1,001 - \$15,000	INTEREST	\$1 - \$200	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Brian M. Higgins

Page 4 of 7

DC	NYS College Savings Account	\$1,001 - \$15,000	None	NONE	
DC	NYS College Savings Account	\$15,001 - \$50,000	None	NONE	
	NYS Employees' Credit Union	\$1 - \$1,000	None	NONE	
SP	NYS Employees' Retirement System (not self-directed)	\$15,001 - \$50,000	None	NONE	
	NYS Employees' Retirement System (not self-directed)	\$15,001 - \$50,000	None	NONE	



**SCHEDULE V - LIABILITIES**

Name Brian M. Higgins

Page 5 of 7

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
SP	Chase		Revolving charge	\$15,001 - \$50,000

SCHEDULE VIII - POSITIONS

Name Brian M. Higgins

Page 6 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Limited Partner	CRV Capital LLC

**SCHEDULE IX - AGREEMENTS**

Name Brian M. Higgins

Page 7 of 7

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
OPEN	NYS Employees' Retirement System	Pension at retirement. Pension account is not self-directed.

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT**

Form A  
 For use by Members, officers, and employees

Page 1 of 5  
 LEGISLATIVE RESOURCE CENTER

2011 MAY 13 PM 1:00

U.S. HOUSE OF REPRESENTATIVES

**HAND DELIVERED**

(Office Use Only)

Name: Louise M Slaughter

Daytime Telephone: 202 225 3615

Filer Status	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>NEW YORK</u>	<input type="checkbox"/> Officer or Employee	Employing Office:
Report Type	<input checked="" type="checkbox"/> Annual (May 16, 2011)	District: <u>28</u>	<input type="checkbox"/> Amendment	Termination Date:

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/>
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	<b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b>	

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**

<b>TRUSTS</b> —Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/>
<b>EXEMPTION</b> —Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

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**Exclude:** Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

**For payments to charity in lieu of honoraria, use Schedule II.**

## Page 3 of 5

**For additional assets and unearned income, use next page.**

# SCHEDULE III—ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Louise M. Slaughter Page 4 of 5

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction	
		A	B	C	D	E	F	G	H	I	J	K	L									I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	\$1 - \$1,000	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	None	\$1 - \$200	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	\$1,000,001 - \$5,000,000	Over \$5,000,000		
	Procter & Gamble Co					X								X												X							
	Clorox Co			X										X									X										
	Smucker, JM CO			X										X								X											
	Fidelity Independence (IRA)				X									X							X												S (partial)
	Vanguard Growth (IRA)				X									X							X												
	Fidelity Growth (IRA)	X		X										X							X												S
SP	Fidelity Indep Fd (IRA)			X										X							X												
SP	Fidelity Magellan Fd (IRA)				X									X							X												
SP	Fidelity Growth Co Fd (IRA)					X								X							X												
SP	Fidelity Growth Fd (IRA)					X								X							X												S (partial)
SP	Mutual Series Quest Chk (IRA)							X						X							X												
SP	ESL CD (IRA)						X							X							X												S (partial)
JT	Eastern Savings & Loan																																
	Savings & CDs					X										X									X								
JT	Congressional Fed Credit Union			X												X						X											

Name Louise M. Slaughter Page 5 of 5

**Capital Gains** — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule 11.

(RMD) = Required Minimum Distribution

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**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2009 FINANCIAL DISCLOSURE STATEMENT**

Form A  
For use by Members, officers, and employees

Name: Thomas W. Reed II

Daytime Telephone: 202-225-3164

2011 JAN 13 PM 2:06

(Office Use Only)

<b>Filer Status</b>	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>NV</u>	<input type="checkbox"/> Officer or Employee	Employing Office:
<b>Report Type</b>	<input checked="" type="checkbox"/> Annual (May 17, 2010)	District: <u>29</u>	<input type="checkbox"/> Amendment	Termination Date:

**A \$200 penalty shall be assessed against anyone who files more than 30 days late.**

**PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	<b>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</b>	

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**

<b>TRUSTS</b> —Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>EXEMPTION</b> —Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Standards of Official Conduct.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I – EARNED INCOME**

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

**Exclude:** Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

[illegible]

**For payments to charity in lieu of honoraria, use Schedule II.**



# SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Thomas W. Reed II

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BLOCK A Asset and/or Income Source			BLOCK B Value of Asset												BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other asset or sources of income which generated more than \$200 in "unearned" income during the year. For rental property or land, provide a complete address. Provide full names of stocks and mutual funds (do not use ticker symbols). For <i>all IRAs</i> and other retirement plans (such as 401(k) plans) that are self directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value and income information on <i>each asset</i> in the account that exceeds the reporting threshold. For retirement plans that are not self-directed, name the institution holding the account and its value at the end of the reporting period. For an active business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. For additional information, see the instruction booklet.</p> <p><b>Exclude:</b> Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by you or your spouse's child, parent, or sibling; any deposits totalling \$5,000 or less in personal savings accounts; and any financial interest in or income derived from U.S. Government retirement programs.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.</p>			<p>Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used.</p> <p>If an asset was sold during the reporting year and is included only because it generated income, the value should be "None."</p>												<p>Check all columns that apply. For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA." For all other assets <i>including all IRAs</i>, indicate the type of income by checking the appropriate box below. <b>Dividends and interest, even if reinvested, should be listed as income.</b> Check "None" if asset did not generate any income during calendar year.</p>						<p>For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, <i>including all IRAs</i>, indicate the category of income by checking the appropriate box below. <b>Dividends and interest, even if reinvested, should be listed as income.</b> Check "None" if no income was earned or generated.</p>											<p>Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
			A	B	C	D	E	F	G	H	I	J	K	L	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI
SP		SP	Mega Corp. Stock																													
DC, Examples:			Simon & Schuster																Royalties													
JT			1st Bank of Paducah, KY Accounts																													
			M and T Bank				X										X															
			First Heritage FCU				X										X															
			Baty St. Elmira, N.Y. Real Estate																													
			NYS Retirement	X																												
			Long Branch Road Liverpool, N.Y. real estate				X																									
			Life Insurance Northwest				X																									

For additional assets and unearned income, use next page.

## Continuation Sheet (if needed)

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**Capital Gains** — if a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

**Capital Gains** — if a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

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# SCHEDULE V— LIABILITIES

Report liabilities of over \$10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report **revolving charge accounts** (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B \$10,001- \$15,000	C \$15,001- \$50,000	D \$50,001- \$100,000	E \$100,001- \$250,000	F \$250,001- \$500,000	G \$500,001- \$1,000,000	H \$1,000,001- \$5,000,000	I \$5,000,001- \$25,000,000	J \$25,000,001- \$50,000,000	K Over \$50,000,000	
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X							
	GLC Student Loans	student loans			X								

# SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than \$335 received by you, your spouse, or a dependent child from any source during the year. **Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold. **Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
<i>Example:</i> Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	\$345

## SCHEDULE VII – TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed by the sponsor.

**Exclude:** Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

[illegible]



## SCHEDULE VIII—POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any non profit organization, any labor organization, or any educational or other institution other than the United States.

**Exclude:** Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
<i>Single-member</i>	<i>Law office of Thomas W. Reed II, PLLC</i>
<i>Partner</i>	<i>Fritz-Klee Holdings, LLC</i>
<i>Partner</i>	<i>Bending River Estates LLC</i>
<i>Partner</i>	<i>Monkey Run Realty LLC</i>
<i>Partner</i>	<i>Fritz-Klee Realty, LLC</i>
<i>Director</i>	<i>Family Services, Inc. (non-paid volunteer)</i>

## SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; continuing participation in an employee welfare or benefit plan maintained by a former employer; or publication of a book.

Date	Parties To	Terms of Agreement
	<i>none</i>	